



Department of Energy
Washington, DC 20585

JAN 22 2008

MEMORANDUM FOR UNDER SECRETARY FOR NUCLEAR
SECURITY/ADMINISTRATOR FOR NATIONAL
NUCLEAR SECURITY
UNDER SECRETARY OF ENERGY
UNDER SECRETARY FOR SCIENCE

FROM:

NEILE L. MILLER 
DIRECTOR, OFFICE OF BUDGET
OFFICE OF THE CHIEF FINANCIAL OFFICER

SUBJECT: FY 2010 Field Budget Call

This memorandum transmits guidance to prepare the Department's FY 2010 Field Budget request and supporting documentation. Please refer to Attachment C for due dates, points of contact and specific requirements, and Attachment B for a summary of significant changes from previous guidance.

The National Nuclear Security Administration (NNSA) will disseminate separate budget guidance to its NNSA elements. Non-NNSA programs conducted at NNSA sites should submit budget materials directly to the Headquarters program offices which fund those activities. **Please do not submit non-NNSA materials to the NNSA Service Center.**

Please direct topic-related questions to the Points of Contact listed in Attachment C. Refer general questions to Roy Craig (CF-32, 202-586-3455).

Attachments

- A – Table of Contents
- B – Highlights/Major Changes
- C – Submission Checklist and Points of Contact
- D – General and Supplemental Guidance



cc: Assistant Secretary for Energy Efficiency and Renewable Energy
Assistant Secretary for Environmental Management
Assistant Secretary for Fossil Energy
Assistant Secretary for Nuclear Energy
Director, Office of Civilian Radioactive Waste Management
Director, Office of Science
Director, Office of Health, Safety and Security
Director, Office of Legacy Management
Chief Information Officer
Administrator, Bonneville Power Administration
Administrator, Southeastern Power Administration
Administrator, Southwestern Power Administration
Administrator, Western Area Power Administration
Chicago Operations Office (CH)
Idaho Operations Office (ID)
Golden Field Office (GO)
Oak Ridge Operations Office (OR)
Richland Operations Office (RL)
Savannah River Operations Office (SR)
Ohio Field Office (OH)
Rocky Flats Field Office (RF)
Carlsbad Field Office (WIPP)
Lawrence Berkley Site Office
Stanford Linear Accelerator Site Office
Strategic Petroleum Reserve Project Management Office
Yucca Mountain Site Characterization Office (YMSCO)

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Highlights/Major Changes

Submission Requirements and Points of Contact

Paper copies of your budget materials are no longer required; therefore, submit all documents electronically through the field management structure in accordance with Attachment C.

Economic Assumptions

Personnel/Pay Related Costs have been updated with the latest OMB policy guidance.

Escalation Rate Assumptions for DOE Projects

The Office of Engineering and Construction has posted websites to obtain escalation rates for DOE projects.

Project Data Sheet and Project Engineering Design (PED)

The PDS and PED guidance has been updated in Chapter 2 of the Field Handbook. The templates are available on the DOE Intranet (<http://crinfo.doe.gov/officedocs/cf30/>).

Field Work Proposals (FWPs)

The ePMA system home page (<http://epma.energy.gov>) has been revised for downloading the detailed instructions for preparation and submission of Field Work Proposals to the Office of Science.

Due Dates – Submission Checklist – Points of Contact

| Requirement | Budget Handbook or Call Reference | Submitted By | | Submit To | Electronic Copies | Due Date | Point of Contact | |
|--|--------------------------------------|--------------|------------------|---------------------------------------|----------------------|--|--|-------------------------------------|
| | | M&O | Field Element | | | | | |
| Primary Budget Materials | | | | | | | | |
| Program Direction (Federal FTEs Only) | Chapter 2 | X | X | Funding Hq Org | Yes | Mar 15 | Funding Hq Org | |
| Field Work Proposals | Chapter 2 | X | X | Funding Hq Org | Yes | Mar 15 | Funding Hq Org | |
| Project Data Sheets | Chapter 2 | X | X | Funding Hq Org | Yes | Mar 15 | Brian Kong, MA-50, 202-586-3151 | |
| Capital Operating Expenses and Construction Summary | Chapter 2 | X | X | Funding Hq Org | Yes | Mar 15 | Brian Kong, MA-50, 202-586-3151 | |
| Supplemental Justification Materials | | | | | | | | |
| Motor Vehicles | Chapter 3 | X | X | MA-632 | Yes | Mar 15 Guidance provided separately by POC | Helene Mattiello, MA-632, 202-287-1593 | |
| Reimbursable Work | Chapter 3 | X | X | CF-32 | Yes | Mar 15 | Janice Stull, CF-32, 301-903-1603 | |
| Cost of Work for Others | Chapter 3 | X | X | CF-31 | Yes | Mar 15 | Jayne Faith, CF-31, 202-586-2983 | |
| Aviation Services | Chapter 3 | X | X | MA-30 | Yes | Guidance provided separately by POC | Robert Jenkins, MA-30, 202-586-5532 | |
| Non-IT Capital Asset Plans and Business Case (Ex 300) | Chapter 3 | X | X | Funding Hq Org and Cognizant PMSO* | Yes | Mar 15 | Cognizant PMSO* | |
| IT Capital Asset Plans and Business Case (Ex 300) | Chapter 3 | X | X | Funding Hq Org and IM-20 | Submit via eCPIC | Apr 6 | Theanne Gordon, IM-20, 202-586-9958 | |
| Landlord | Chapter 3 | NA | NA | N/A | | N/A | N/A | Roy Craig, CF-32, 202-586-3455 |
| Indirect Costs | Chapter 3 | NA | NA | N/A | | N/A | N/A | Roy Craig, CF-32, 202-586-3455 |
| Minority Education Institutions | Chapter 3 | X | X | ED-2 | | Yes | Mar 15 | Annie Whatley, ED-2, 202-586-0281 |
| Environmental Compliance | Chapter 3 | NA | NA | N/A | | N/A | N/A | Steve Woodbury, HS-21, 202-586-4371 |
| Crosscuts | | | | | | | | |
| Environment, Safety and Health Liability | Chapter 4 | X | X | CF-50 | TBD | Guidance provided separately by POC | Lois Jessup, CF-50, 202-586-3959 | |
| Agency IT Investment Portfolio – Ex. 53 | Chapter 4 | X | X | Funding Hq Org and IM-20 | Yes | Apr 6 | Theanne Gordon, IM-20, 202-586-9958 | |
| IFI Crosscut | Chapter 4 | X | X | Funding Hq Org and MA-50 | Yes | Mar 15 | Peter O’Konski, MA-50, 202-586-4502 | |
| Miscellaneous | | | | | | | | |
| Economic Assumptions | Attachment D | NA | NA | N/A | N/A | N/A | Roy Craig, CF-32, 202-586-3455 | |
| Escalation Rates for DOE Projects | Attachment D | NA | NA | N/A | N/A | N/A | Brian Kong, MA-50, 202-586-3151 | |
| General Plant Projects (GPP) | Chapter 2 | X | X | Funding Hq Org cc: MA-50 | Yes | Mar 15 | Pete O’Konski, MA-50, 202-586-4554 | |
| Institutional General Plant Projects (IGPP) | Attachment D | X | X | Funding Hq Org cc: MA-50 | Yes | Mar 15 | Pete O’Konski, MA-50, 202-586-4554 | |
| Non-IT Major Items of Equipment (MIE) | Chapter 2 | NA | NA | N/A | N/A | N/A | Brian Kong, MA-50, 202-586-3151 | |
| Functional Accountability Crosscut | Attachment D | NA | X | Funding Hq Org and CF-2 | Yes | Mar 15 | Janis Greene, CF-2, 202-586-7916 | |

*Program Management Support Office (PMSO); if there is no PMSO, POC is Office of Engineering and Construction Management (OECM), MA-50

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General and Supplemental Guidance

This document highlights new guidance and also **reiterates key items** that have been discussed in previous years' Field Budget Calls. **Unless noted below, the guidance provided in the previous Field Budget Call remains applicable.** Use this guidance plus the Field Budget Handbook (Chapter 2 (Primary Justification Materials), Chapter 3 (Supplemental Justification Materials), and Chapter 4 (Crosscuts)) to develop your budget.

This guidance and Chapters 2-4 are available to DOE Federal employees on the Office of Budget **intranet** website, which is behind the DOE firewall (<http://crinfo.doe.gov/officedocs/cf30/>) (*note new URL*).

***Submission Requirements and Points of Contact**

Attachment C includes detailed submission requirements and Points of Contact (POC). *Paper copies of your budget materials are no longer required*; therefore, *submit all documents electronically* through the field management structure in accordance with Attachment C. **Note: Do not submit non-classified materials to the Office of Budget (CF-30) via certified mail/Federal Express.**

The National Nuclear Security Administration (NNSA) will disseminate separate budget guidance to NNSA field elements. Non-NNSA activities conducted at NNSA sites should submit budget materials directly to the Headquarters program offices who fund those activities. **Do not submit these non-NNSA materials to the NNSA Service Center.**

Reference to Fiscal Years

The sample reporting schedules used to prepare field budget submissions are not specific to fiscal year guidance and use a FY PY (Prior Year), FY CY (Current Year), and FY BY (Budget Year) convention.

Economic Assumptions

***Baseline Adjustment Factors for Personnel/Pay Related Costs** *As of December 2007*

Pay raise assumptions represent increases intended to cover both national pay raises and locality pay raises. These pay adjustment factors include adjustments for annualization of the previous year's pay raise, adjustment for changes in retirement and health insurance costs, and an inflator for the budget year and subsequent pay increases. This inflator is adjusted to reflect the January 1 effective date of each year's pay raise, as provided in the Administration's budget enforcement proposal.

| Effective Date | Civilian Pay Raise (%) (non-cumulative) |
|----------------|--|
| Jan. 2008 | 3.5 |
| Jan. 2009 | 2.9 |
| Jan. 2010 | Not Available |
| Jan. 2011 | Not Available |
| Jan. 2013 | Not Available |
| Jan. 2014 | Not Available |
| Jan. 2015 | Not Available |
| Jan. 2016 | Not Available |

| Fiscal Year | Annual Factor Nonpay Costs (non-cumulative) | Civilian Personnel-Related Costs (non-cumulative) |
|-------------|--|--|
| 2009 | 1.020 | 1.044 |
| 2010 | 1.020 | 1.045 |
| 2011 | 1.020 | 1.045 |
| 2012 | 1.020 | 1.045 |
| 2013 | 1.020 | 1.045 |
| 2014 | 1.020 | 1.045 |
| 2015 | 1.020 | 1.045 |
| 2016 | 1.020 | 1.045 |
| 2017 | 1.020 | 1.045 |
| 2018 | 1.020 | 1.045 |

These factors will be applied automatically in the MAX database to 2008 enacted pay-related funding levels for discretionary programs. The increases shown are to be applied cumulatively (e.g., the year 2010 civilian adjustment factor under the adjusted baseline is calculated as $1.044 \times 1.045 = 1.091$).

***Escalation Rate Assumptions for DOE Projects**

For project cost estimates, local economy, market conditions, and other factors should also be considered. For example, it would be prudent to assess materials differently, e.g., steel may have a different inflation rate. The U.S. Consumer Price Index (CPI) (www.bls.gov/cpi) and the McGraw Hill Construction (The Engineering News Record (ENR) <http://enr.construction.com/> and the Analytics <http://construction.ecnext.com/coms2/analytics>) are a couple of sources for this information. (POC: Brian Kong, MA-50, 202-586-3151)

**Denotes new/revised guidance (in red and marked with an asterisk).*

General Plant Projects (GPP) and Institutional General Plant Projects (IGPP)

The limit for GPP and IGPP remains at \$5 million.

***Project Data Sheet (PDS)**

The PDS guidance and templates have been updated in Chapter 2 of the Field Handbook. The templates are available on the DOE Intranet (<http://crinfo.doe.gov/officedocs/cf30/>). (POC: Brian Kong, MA-50, 202-586-3151)

Contract Transition Costs

Lead Program Secretarial Officers' (LPSOs) and Field Chief Financial Officers should continue to set aside resources in their budgets for transition costs associated with conducting competitions of Site/Facility management contracts.

***Functional Accountability Crosscut by Field Element**

To fulfill Secretary Bodman's direction regarding Functional Accountability (as contained in his May 23, 2006, memorandum), Field Elements are to provide information on the resources budgeted for each of the six functional areas: human capital management, financial management, information technology, legal, procurement, and public affairs. Submit this crosscut electronically to both the cognizant Program Secretarial Officer and to **Janis Greene** (Janis.Greene@hq.doe.gov), who will disseminate the information to the functional heads.

Instructions:

For each functional area, provide the following:

Scenario 1: Total dollars/FTEs included within the Field budget. This should include salaries and benefits, travel, training, support services, and logistical (space, network, phone, etc) costs related to each functional area. Also include a detailed explanation of the activities funded and performed with these resources. Where information is available below the Field Element level (by site), please provide the information by site.

If an FTE only allocates a percentage of his/her time to this functional area, please do not break up an allocation below a quarter point (i.e. 0.25, 0.50, 0.75, or 1 FTE). If an FTE spends less than 25 percent of his/her time on a particular functional area, do not include resources related to that individual on the table for that functional area.

Scenario 2: If resources were unconstrained, please provide the **total** dollars/FTEs and a detailed explanation of the **additional** activities that would be performed above the budget request level described in Scenario 1.

**Denotes new/revised guidance (in red and marked with an asterisk).*

Functional Heads:

Human Capital Management

Jeff Pon

Financial Management**Owen Barwell**

Information Technology

Tom Pyke

Legal

David Hill

Procurement

Frank Spampinato

Public Affairs

Andrew Beck**POC: Janis Greene, CF-2, 202- 586-7916**

Chapter 2

Primary Submission Materials

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Introduction

The primary Submission Materials are comprised of three basic budget exhibits that generally summarize the total budget request of a laboratory, facility, or contractor. Each request package submitted must contain the three basic exhibits: (a) summary of estimates tables; (b) project data sheets; and (c) field work proposals (FWP's), Activity Data Sheets (ADS) (as applicable), or EM's Project Baseline Summaries. Refer to Chapters 3 and 4 for other submission requirements.

1. ***Program Direction Guidelines**

- a. Introduction. Congress requires that each organization have one program direction account for each appropriation account to provide funding for all federal employee salaries, benefits, and related costs. All support services contracts (defined in OMB Circular A-11) must be included in the program direction account regardless of whether the contracts support the program mission or federal full-time equivalents.
- (1) ***Program Performance Summary** – A separate Program Performance Summary should be prepared for program direction funding for each organization within a given appropriation. In addition, Field Offices such as Y-12, Lawrence Berkley, Carlsbad, etc., reporting directly to Headquarters should forward information separately to Headquarters Program Offices and the Chief Financial Officer. *The sample at the end of this section can be downloaded from the Office of Budget Intranet website (refer to Attachment D of the most current Field Budget Call for the URL).*
 - (a) **Funding Profile by Category** (table) – Report obligations by site (Operations, Area, Support and Project Office), by appropriation (e.g., Science/Program Direction, Nuclear Energy/Program Direction etc.) by the four categories: Salaries and Benefits, Travel, Support Services, and Other Related Services) for the PY, CY, BY. Also report the FTEs associated with the program.
 - (b) **Mission** – Describe purpose of program direction funding as it applies to salaries and benefits, travel, support services, and other related expenses.
 - (c) **Detailed Justification** – Describe activities that justify federal staffing levels and resources supporting these levels; describe oversight/management activities performed and programmatic impact if these activities are eliminated; describe change in staffing levels, support service contracts, or working capital activities; identify funding of severance and voluntary incentive payments; include number of full-time equivalents and estimated cost.
 - (d) **Explanation of Funding Changes** – Explain changes in terms of total category levels (salaries and benefits, travel, support services, and other related expenses) for the organization as a whole; break out net changes in categories of subordinate activities. Show explanation of changes from CY to BY.
 - (e) ***Support Services *by Category*** – Prepare a detailed breakout of funding for support services as defined below; all support service contracts must be funded in the program direction account regardless of whether they support a program mission line or a federal FTE.
 - (f) ***Other Related Expenses *by Category*** – Prepare a detailed breakout of funding for other related expenses using the definitions below.
 - (2) **Object Class Summary:** A separate Object Class Summary must be prepared for program direction funding. Object Class categories that are not used for all three fiscal years may be deleted to simplify the schedule. Adjustment lines shall be used to reflect deobligations, start and/or end of year unobligated balances in any of the fiscal years. These amounts are then subtracted from (or added to) the organization's total obligations to calculate Budget Authority (BA).

- b. ***Definitions** (*refer to OMB Circular A-11 for the most current definitions*):
- (1) **Salaries and Benefits** (Object Class 11.1 – 13.0)
 - (a) **Salaries** – Includes compensation for regular salaries and wages paid directly to civilian full-time permanent and other than full-time permanent employees, geographic differentials and nationwide pay raises, and other personnel compensation such as overtime and awards.
 - (b) **Benefits** – Includes cash allowances for job relocation expenses, retirement costs, health and life insurance costs, accident compensation, employee transportation subsidies, unemployment fund, and benefits for former employees (severance pay).
 - (2) **Travel** (Object Class 21.0, 22.0) – Includes transportation costs and per diem allowances for federal employees while on authorized travel status and transportation of things.
 - (3) **Support Services (Advisory and Assistance)** (Object Class 25.1):
 - (a) **Technical** – Includes, but not limited to, determining feasibility of design considerations; development of specifications, system definition, system review and reliability analyses; trade-off analyses; economic and environmental analyses used to prepare environmental impact statements; test and evaluation; and surveys or reviews to improve the effectiveness, efficiency, and economy of technical operations.
 - (b) **Management and Professional Support Services** – Includes, but not limited to, analyses of workload and work flow; directives management studies; automated data processing; manpower systems analyses; assistance in the preparation of program plans; training and education; analyses of DOE management processes; and other reports and analyses directed toward improving effectiveness, efficiency, and economy of management and general administrative services.
 - (4) **Other Related Expenses:**
 - (a) Rental payments to General Services Administration (Object Class 23.1)
 - (b) Rental payments to others (Object Class 23.2)
 - (c) Communications, utilities, and miscellaneous charges (Object Class 23.3)
 - (d) Printing and reproduction (Object Class 24.0)
 - (e) Other services (Object Class 25.2)
 - (f) Other purchases of goods and services from Government accounts (Object Class 25.3)
 - (g) Operation and maintenance of equipment (Object Class 25.7)
 - (h) Supplies and materials (Object Class 26.0)
 - (i) Equipment (Object Class 31.0)

**Program Direction
Funding Profile by Category**

(dollars in thousands/whole FTEs)

| | FY PY | FY CY | FY BY | \$ Change | % Change |
|------------------------------------|---------|---------|---------|-----------|----------|
| Chicago Operations Office | | | | | |
| Salaries and Benefits | 00,000 | 00,000 | 00,000 | + 0,000 | + 0.0% |
| Travel | 00,000 | 00,000 | 00,000 | + 0,000 | + 0.0% |
| Support Services | 00,000 | 00,000 | 00,000 | + 0,000 | + 0.0% |
| Other Related Expenses | 00,000 | 00,000 | 00,000 | + 0,000 | + 0.0% |
| Total, Chicago Operations Office | 000,000 | 000,000 | 000,000 | + 0,000 | + 0.0% |
| Full Time Equivalents | 0,000 | 0,000 | 0,000 | +00 | + 0.0% |
| Oak Ridge Operations Office | | | | | |
| Salaries and Benefits | 00,000 | 00,000 | 00,000 | + 0,000 | + 0.0% |
| Travel | 00,000 | 00,000 | 00,000 | + 0,000 | + 0.0% |
| Support Services | 00,000 | 00,000 | 00,000 | + 0,000 | + 0.0% |
| Other Related Expenses | 00,000 | 00,000 | 00,000 | + 0,000 | + 0.0% |
| Total, Oak Ridge Operations Office | 000,000 | 000,000 | 000,000 | + 0,000 | + 0.0% |
| Full Time Equivalents | 0,000 | 0,000 | 0,000 | +00 | + 0.0% |
| Total Program Direction | | | | | |
| Salaries and Benefits | 00,000 | 00,000 | 00,000 | + 0,000 | + 0.0% |
| Travel | 00,000 | 00,000 | 00,000 | + 0,000 | + 0.0% |
| Support Services | 00,000 | 00,000 | 00,000 | + 0,000 | + 0.0% |
| Other Related Expenses | 00,000 | 00,000 | 00,000 | + 0,000 | + 0.0% |
| Total, Program Direction | 000,000 | 000,000 | 000,000 | + 0,000 | + 0.0% |
| Total, Full Time Equivalents | 0,000 | 0,000 | 0,000 | +00 | + 0.0% |

Mission

Program Direction provides the Federal staffing resources and associated costs required to provide overall direction and execution of Office of Science program and advisory responsibilities. Science Program Direction supports staff in the High Energy Physics, Nuclear Physics, Basic Energy Sciences, Biological and Environmental Research, Advanced Scientific Computing Research, Fusion Energy, Science Laboratories Infrastructure, and Safeguards, and Security, including management and technical support staff. This program also supports staff at the Chicago, Oakland, and Oak Ridge Operations Offices directly involved in program execution. The staff includes scientific and technical personnel as well as program support personnel in the areas of budget and finance, general administration, grants and contracts, information resource management, policy review and coordination, infrastructure management, construction management, and environment, safety and health.

Detailed Justification

(dollars in thousands)

| FY PY | FY CY | FY BY |
|-------|-------|-------|
|-------|-------|-------|

Salaries and Benefits

00,000

00,000

00,000

XXXXX XXXXXXX XXXXX XXXXX XXXXX XXXXXXXXXXX XXXXX XXXXX XXXXX XXXXXXX XXXX XXX
 XXXX XXXXXXX XXXXXXX XXXXXXX XXXX XXXX. XXXXXXXXXXX XXXXXXXXXXX XXXX XXXXXXX XXXX XXXXXXX
 XXXX XXXXXXX XXXX XXXXX XXXXXXX XXX XXXXXXX. XXXXXXXXXXX XXXXXXXXXXX XXXX XXXXXXX XXXX

**Denotes new/revised guidance (in red and marked with an asterisk).*

(dollars in thousands)

| | FY PY | FY CY | FY BY |
|--|---------------|---------------|---------------|
| XXXXXX XXXX XXXXXXXX XXXX XXXXX XXXXXXX XXX XXXXXXXX. XXXXXXXX XXXXXXXX XXXX XXXXXXXX XXXX XXXXXXX XXXX XXXXXXX XXXX XXXXX XXXXXXX XXX XXXXXXXX. XXXXXXXX XXXXXXXX XXXX XXXXXXX XXXX XXXXXXX XXXX XXXXXXX XXXX XXXXX XXXXXXX XXX XXXXXXXX. | | | |
| Travel | 00,000 | 00,000 | 00,000 |
| XXXXX XXXXXXX XXXXX XXXXX XXXXX XXXXXXXXXX XXXXX XXXXX XXXXX XXXXXXX XXXXX XXXXX XXXX XXX XXXX XXXXXXX XXXXXXX XXXXXXX XXXX XXXX. XXXXXXXXXX XXXXXXXXXX XXXX XXXXXXX XXXX XXXXXXX XXXX XXXXXXX XXXX XXXXX XXXXXXX XXX XXXXXXXX. | | | |
| Support Services | 00,000 | 00,000 | 00,000 |
| XXXXX XXXXXXX XXXXX XXXXX XXXXX XXXXXXXXXX XXXXX XXXXX XXXXX XXXXXXX XXXXX XXXXX XXXX XXX XXXX XXXXXXX XXXXXXX XXXXXXX XXXX XXXX. XXXXXXXXXX XXXXXXXXXX XXXX XXXXXXX XXXX XXXXXXX XXXX XXXXXXX XXXX XXXXX XXXXXXX XXX XXXXXXXX. | | | |
| Other Related Expenses | 00,000 | 00,000 | 00,000 |
| XXXX XXXX XXXXXXX XXXXX XXXXX XXXXX XXXXXXXXXX XXXXX XXXXX XXXXX XXXXXXX XXXXX XXXXX XXXX XXX XXXX XXXXXXX XXXXXXX XXXXXXX XXXX XXXX. XXXXXXXXXX XXXXXXXXXX XXXX XXXXXXX XXXX XXXXXXX XXXX XXXXXXX XXXX XXXXX XXXXXXX XXX XXXXXXXX. | | | |
| Total, Program Direction | 00,000 | 00,000 | 00,000 |

Explanation of Funding Changes**Salaries and Benefits**

- Increase in salaries and benefits is due to general pay increases, promotions, and within-grade increases. +00

Travel

- Escalating airfare and lodging costs are offset by increased use of alternatives to travel. -00

Support Services

- Increase results from the inclusion in program direction of support service contracts previously included in program budgets, as directed by Congress. +00

Other Related Expenses

- Increased costs of computer workstations and network infrastructure technology upgrades needed to improve operational efficiencies and for the inclusion of field office printing costs. +00

Total Funding Change, Program Direction**+000****Support Services by Category**

(dollars in thousands)

| | FY PY | FY CY | FY BY | \$ Change | % Change |
|-------------------------------------|--------|--------|--------|-----------|----------|
| Technical Support Services | | | | | |
| Economic and Environmental Analysis | 00,000 | 00,000 | 00,000 | +00 | +00% |
| Test and Evaluation Studies | 00,000 | 00,000 | 00,000 | -00 | -00% |

**Denotes new/revised guidance (in red and marked with an asterisk).*

(dollars in thousands)

| | FY PY | FY CY | FY BY | \$ Change | % Change |
|------------------------------------|---------|---------|---------|-----------|----------|
| Total, Technical Support Services | 00,000 | 00,000 | 00,000 | +00 | +00% |
| Management Support Services | | | | | |
| Management Studies | 00,000 | 00,000 | 00,000 | +00 | +00% |
| Training and Education | 00,000 | 00,000 | 00,000 | +00 | +00% |
| ADP Support | 00,000 | 00,000 | 00,000 | +00 | +00% |
| Administrative Support Services | 00,000 | 00,000 | 00,000 | +00 | +00% |
| Total, Management Support Services | 00,000 | 00,000 | 00,000 | +00 | +00% |
| Subtotal, Support Services | 00,000 | 00,000 | 00,000 | +00 | +00% |
| Use of Prior Year Balances | -00,000 | -00,000 | -00,000 | -00 | -00% |
| Total, Support Services | 00,000 | 00,000 | 00,000 | +00 | +00% |

Other Related Expenses by Category

(dollars in thousands)

| | FY PY | FY CY | FY BY | \$ Change | % Change |
|----------------------------------|---------|---------|---------|-----------|----------|
| Training | 00,000 | 00,000 | 00,000 | +00 | +00% |
| Printing and Reproduction | 00,000 | 00,000 | 00,000 | -00 | -00% |
| Rental Space | 00,000 | 00,000 | 00,000 | -00 | -00% |
| Software Procurement/Maintenance | | | | | |
| Activities/Capital Acquisitions | 00,000 | 00,000 | 00,000 | +00 | +00% |
| Other | 00,000 | 00,000 | 00,000 | +00 | +00% |
| Subtotal, Other Related Expenses | 00,000 | 00,000 | 00,000 | +00 | +00% |
| Use of Prior Year Balances | -00,000 | -00,000 | -00,000 | -00 | -00% |
| Total, Other Related Expenses | 00,000 | 00,000 | 00,000 | +00 | +00% |

Object Class Summary

(dollars in thousands)

| | FY PY | FY CY | FY BY |
|--|--------|--------|--------|
| Direct Obligations | | | |
| 11.1 Full-time permanent | 00,000 | 00,000 | 00,000 |
| 11.3 Other than full-time permanent | 00,000 | 00,000 | 00,000 |
| 11.5 Other personnel compensation | 00,000 | 00,000 | 00,000 |
| 11.8 Special personnel services payments | 00,000 | 00,000 | 00,000 |
| 11.9 Total Personnel Compensation | 00,000 | 00,000 | 00,000 |
| 12.1 Civilian personnel benefits | 00,000 | 00,000 | 00,000 |
| 13.0 Benefits for former personnel | 00,000 | 00,000 | 00,000 |
| 21.0 Travel and transportation of personnel | 00,000 | 00,000 | 00,000 |
| 22.0 Transportation of things | 00,000 | 00,000 | 00,000 |
| 23.1 Rental payments to GSA | 00,000 | 00,000 | 00,000 |
| 23.2 Rental payments to others | 00,000 | 00,000 | 00,000 |
| 23.3 Communications, utilities, and miscellaneous charges | 00,000 | 00,000 | 00,000 |
| 24.0 Printing and reproduction | 00,000 | 00,000 | 00,000 |
| 25.1 Advisory and assistance services | 00,000 | 00,000 | 00,000 |
| 25.2 Other services | 00,000 | 00,000 | 00,000 |
| 25.3 Other purchases of goods & services from Gov't accounts | 00,000 | 00,000 | 00,000 |
| 25.7 Operation and maintenance of equipment | 00,000 | 00,000 | 00,000 |
| 26.0 Supplies and materials | 00,000 | 00,000 | 00,000 |
| 31.0 Equipment | 00,000 | 00,000 | 00,000 |
| 99.0 Subtotal, Direct Obligations | 00,000 | 00,000 | 00,000 |
| Reimbursable Program | | | |
| 99.9 Total, Obligations | 00,000 | 00,000 | 00,000 |
| Recovery of prior year obligations (-) | 00,000 | 00,000 | 00,000 |
| Unobligated balances available, start of year (-) | 00,000 | 00,000 | 00,000 |

**Denotes new/revised guidance (in red and marked with an asterisk).*

| | | | |
|---|------------------------|--------|--------|
| | (dollars in thousands) | | |
| | FY PY | FY CY | FY BY |
| Unobligated balances available, end of year | 00,000 | 00,000 | 00,000 |
| Total, Budget Authority | 00,000 | 00,000 | 00,000 |

**Denotes new/revised guidance (in red and marked with an asterisk).*

2. ***Field Work Proposals or Activity Data Sheets**

- a. Most work proposed for funding in FYBY is described in Field Work Proposals (FWPs), Field Planning Proposals (FPPs), Project Baseline Summaries, Activity Data Sheets, or other such documents. DOE 412.1~~A~~, Work Authorization System, establishes a formal process for authorizing and controlling work performed by management and operating contractors. The Order applies to all work financed from operating funds, including capital equipment not related to construction, but exempts line item construction projects (paragraph 4 of Chapter), materials regularly produced for sale (cost of work for other section 5 of Chapter 3) and major system acquisitions or major projects (DOE O 413.3~~A~~). DOE O 412.1 contains the FWP format which is to be used for all activities requesting funding in FYBY. It should be referenced for guidance in preparing these documents.
- b. Project Baseline Summaries are used in lieu of FWP's for EM activities regardless of funding source, i.e., operating expense, or plant and capital equipment. Project data sheets must also be submitted for construction activities whether operating expense or line item funded.
- c. The ePMA system (<http://epma.energy.gov>) is to be used to prepare and submit Research and Development FWPs for the Office of Science.

3. ***Project Data Sheet (PDS)**

Project Number, Title, and Location

Project Data Sheet is for [PED, PED (multiple projects), Construction or PED/Construction]

This guidance (as of April 2007) is for non-IT capital asset projects for the FY 2010 budget submission. Updates include templates, a separate guidance document, clarification that one PDS may be submitted for PED and construction, and cautions in providing point cost estimates. The templates for these documents are available <http://crinfo.doe.gov/officedocs/cf30/GUIDANCE/FY09/Index.htm>.

The PDS justify capital asset projects exceeding \$5M regardless of funding source. It is the primary document used to defend funding for capital projects throughout the budget formulation process. It is used to develop the OMB Circular A-11 Exhibit 300. Submit a PDS for new project efforts and for on-going projects that require Congressional authorization and/or appropriation in the FY BY. Data sheets and conceptual design reports are required prior to project validation. Only validated projects are considered for construction funding during the budget review process. (ref. 2003 budget formulation handbook).

Project Number(s), Title, and Location shall be same as budget documentation, associated Exhibit 300, and PARS; otherwise, provide OECM an explanation.

State in the heading above the following:

“Project Data Sheet (PDS) is for [PED, PED (multiple projects), Construction, or PED/Construction”

1. “PED” is one PDS for a single project. If project is new, consider “PED/Construction” PDS, noted below, to reduce potential future reprogramming.
2. “PED (multiple projects)” is one PDS for multiple projects. Provide a summary of the projects in each PDS section. Provide project specific information for each project in each PDS section.
3. “Construction” may be for a single line item project with a separate PED PDS. Identify PED PDS number in the cost tables, sections 5, 6, and 7.
4. “PED/Construction” is one PDS for both PED and construction, and its use is encouraged. May be used to amend a PED PDS for a single project for a new request of construction funds. May not be used when the PED PDS consists of multiple projects or if a construction PDS already exists.

Three templates are available for the PDS types: PED, PED (multiple projects), and Construction or PED/Construction.

If the “PED/Construction” PDS template is used for a project without CD-2 approval and has not requested previously construction funds, leave the “TBD” as shown; otherwise, provide the data. TPC, TEC, and OPC cost ranges should be provided, e.g., as notes, in lieu of point dollar cost estimates.

PED funds are capital “design only” funds for preliminary and final designs. PED funds are not for construction, long-lead procurements or major items of equipment. PED fund requirements are developed from historical data or parametric estimates. The objectives for the use of PED funds are to:

- improve the probability of an accurate project performance baseline;
- establish the project performance baseline after the preliminary design is complete; and
- improve DOE’s planning, programming & budgeting process for the acquisition of capital assets.

PED funds are released by the Program Secretarial Officers (PSO) upon CD-1 approval by the acquisition executive (AE). After release of PED funds for a PED PDS of multiple projects, any movement of funds between design projects requires the PSO approval and notification of OECM. All changes shall be reported in the subsequent PDS.

The use of the terms “baseline” and/or TPC warrants caution, and these terms should only be used “post-CD-2.” Unless the project has a validated performance baseline and a CD-2 approval, a point dollar cost estimate must be replaced with a “preliminary cost estimate range.” If point estimates have been provided in previous budget requests, clearly state that it was a preliminary estimate. After CD-2 approval, construction funds may be requested, and a point estimate (TPC, TEC, and OPC) should be provided in lieu of cost ranges.

Construction funds are released by the PSO upon CD-3 approval by the AE.

Decontamination and Decommissioning (D&D), unless noted otherwise, includes demolition or disposal and refers to an existing facility used to offset new construction square footage plus any additional D&D needed to comply with the “one-for-one” requirement (not D&D associated with the new facility that is being constructed). Not all demolition is operating expense funded. Removal of existing facilities that are in the footprint of the new construction or costs that are incurred to salvage or reuse items are capital costs and must be included in the TEC. For additional information, see section 9.

1. Significant Changes

State the following: “The most recent DOE O 413.3A approved Critical Decision (CD) is CD-[0, 1, 2(A), 3(A)] [, description] that was approved on [date] with a [Total Project Cost (TPC) or preliminary cost range] of \$[dollars in thousands].”

If project has CD-2 approval and there was an approved deviation in the baseline, state the following: “Latest approved Baseline Change was on [date] with a TPC of \$[dollars in thousands].

State one of the following:

1. “A Federal Project Director has not been assigned to this project.” or
2. “A Federal Project Director with certification level [I, II, III, IV] has been assigned to this project.” or
3. “A Federal Project Director has been assigned to this project. Project is pursuing to fulfill the certification requirements.”

State one of the following:

1. “This PDS is an update of the FY[xxxx] PDS.” Summarize significant changes, if any, such as scope, cost, and schedule as well as summary of major risks for each subproject, if PDS is for multiple projects.”; or
2. “This PDS is new for [PED, PED (multiple projects), Construction or PED/Construction].” Approved projects, i.e., has CD-0, CD-1 or CD-2 approval, with a high end preliminary cost range or TPC that is less than \$20M are encouraged to request full funding in lieu of incremental funding in accordance with OMB Circular A-11. PED, construction, and project-specific operating program funds must be separately identified.; or
3. “This PDS is a continuation of a PED PDS proceeding to construction.” Summarize significant changes such as scope, cost, and schedule as well as summary of major risks.”

2. Design, Construction, and D&D Schedule

(fiscal quarter or date)

| CD-0 | CD-1 (Design Start) | (Design/PED Complete) | CD-2 | CD-3 (Construction Start) | CD-4 (Construction Complete) | D&D Start | D&D Complete |
|------|------------------------|-----------------------|------|------------------------------|---------------------------------|-----------|--------------|
|------|------------------------|-----------------------|------|------------------------------|---------------------------------|-----------|--------------|

| | | | | | | | |
|---------------------|------------|------------|-----------|-----------|-----------|-----------|-----------|
| <i>FY [of CD-0]</i> | mm/dd/yyyy | xQFY yyyy | xQFY yyyy | xQFY yyyy | xQFY yyyy | xQFY yyyy | xQFY yyyy |
| <i>FY BY-2</i> | mm/dd/yyyy | mm/dd/yyyy | xQFY yyyy | xQFY yyyy | xQFY yyyy | xQFY yyyy | xQFY yyyy |
| <i>FY BY-1</i> | mm/dd/yyyy | mm/dd/yyyy | xQFY yyyy | xQFY yyyy | xQFY yyyy | xQFY yyyy | xQFY yyyy |
| <i>FY BY</i> | mm/dd/yyyy | mm/dd/yyyy | xQFY yyyy | xQFY yyyy | xQFY yyyy | xQFY yyyy | xQFY yyyy |

CD-0 – Approve Mission Need

CD-1 – Approve Alternative Selection and Cost Range

CD-2 – Approve Performance Baseline

CD-3 – Approve Start of Construction

CD-4 – Approve Start of Operations or Project Closeout

D&D Start – Start of Demolition & Decontamination (D&D) work

D&D Complete –Completion of D&D work

The table shall log all approved project CD schedules by FY of the budget request starting with the FY of CD-0 approval. Actual signature dates shall be provided for those CD's that have been approved.

If project does not have CD-2 approval, state "TBD" for the CD-2, CD-3, CD-4, and D&D columns, and provide a footnote stating the schedules are to be determined and state preliminary CD-4 schedule range, if available.

Provide explanation where start and complete dates for design and construction that do not correspond to CD dates. Construction start date for long lead items shall be noted in table below.

**Denotes new/revised guidance (in red and marked with an asterisk).*

The table is for the final CD milestone dates, i.e., CD-2B if there is a CD-2A (long lead) and CD-2B (Approve Performance Baseline). For tailored project approaches, including phasing and long lead procurement, and other major milestones, provide additional tables (sample table below) and text, i.e., elaboration of long lead procurement,...

(fiscal quarter or date)

| | <i>CD-2A/3A</i> <i>(Start of Construction for long lead items)</i> | <i>CD-4A</i> | | | | | |
|--|---|--------------|--|--|--|--|--|
| <i>Performance Baseline Validation</i> | | | | | | | |

FY [of CD-0] *xQFY yyyy* *xQFY yyyy* *xQFY yyyy*

FY BY-2 *xQFY yyyy* *xQFY yyyy* *xQFY yyyy*

FY BY-1 *xQFY yyyy* *xQFY yyyy* *xQFY yyyy*

FY BY *xQFY yyyy* *xQFY yyyy* *xQFY yyyy*

CD-2A/3A – Long Lead for equipment.

CD-4A – Beneficial Occupancy

3. Baseline and Validation Status

(dollars in thousands)

| | TEC, PED | TEC, Construction | TEC, Total | OPC Except D&D | OPC, D&D | OPC, Total | TPC |
|--|-------------|----------------------|------------|-------------------|-------------|------------|-----|
|--|-------------|----------------------|------------|-------------------|-------------|------------|-----|

FY [of CD-0] *5,000* *TBD* *TBD* *12,000* *TBD* *TBD* *TBD*

FY BY-2 *5,000* *TBD* *TBD* *12,000* *TBD* *TBD* *TBD*

FY BY-1 *5,000* *54,800* *59,800* *12,000* *10,000* *22,000* *81,800*

FY BY *5,000* *54,800* *59,800* *12,000* *10,000* *22,000* *81,800*

**Denotes new/revised guidance (in red and marked with an asterisk).*

The table shall log all approved project CD schedules by FY of the budget request starting with the FY of CD-0 approval. Actual signature dates shall be provided for those CD's that have been approved.

For each FY, starting with the FY of CD-0 approval, provide the approved costs.

If project does not have CD-2 approval, state "TBD" for columns "TEC, Construction," "TEC, Total," "OPC, D&D," "OPC, Total," and "TPC." Provide a footnote stating the costs are to be determined (TBD) and state preliminary cost estimate range, if available.

If requesting construction funds without a validated performance baseline, a CD-2 approval, and CD-3 approval, state "No construction funds [, excluding for approved long lead procurement,] will be used until the project performance baseline has been validated and CD-3 has been approved."

D&D may be OPC and/or TEC.

4. Project Description, Justification, and Scope

The project is being conducted in accordance with the project management requirements in DOE O 413.3A and DOE M 413.3-1, Program and Project Management for the Acquisition of Capital Assets, and all appropriate project management requirements have been met.

Above statement shall be stated at the end of section 4 regardless of TPC. Provide summary based on the Critical Decision documentation, i.e., Mission Need Statement (MNS), Conceptual Design Report,...

5. Financial Schedule

(dollars in thousands)

| Appropriations | Obligations | Costs |
|----------------|-------------|-------|
|----------------|-------------|-------|

Total Estimated Cost (TEC)

PED

| | | | |
|-------------------------------|-------|-------|-------|
| FY BY-3 | 5,000 | 5,000 | 600 |
| FY BY-2 | 0 | 0 | 3,000 |
| FY BY-1 | 0 | 0 | 1,400 |
| Total, PED (PED no. 04-D-203) | 5,000 | 5,000 | 5,000 |

Construction

| | | | |
|---------------------|--------|--------|--------|
| FY BY-1 | 800* | 800 | 700 |
| FY BY | 32,000 | 32,000 | 19,100 |
| FY BY+1 | 22,000 | 22,000 | 32,000 |
| FY BY+2 | 0 | 0 | 3,000 |
| Total, Construction | 54,800 | 54,800 | 54,800 |

TEC

| | | | |
|---------|--------|--------|--------|
| FY BY-3 | 5,000 | 5,000 | 600 |
| FY BY-2 | 0 | 0 | 3,000 |
| FY BY-1 | 800 | 800 | 2,100 |
| FY BY | 32,000 | 32,000 | 19,100 |
| FY BY+1 | 22,000 | 22,000 | 32,000 |
| FY BY+2 | 0 | 0 | 3,000 |

**Denotes new/revised guidance (in red and marked with an asterisk).*

(dollars in thousands)

| | Appropriations | Obligations | Costs |
|--------------------------|----------------|-------------|--------|
| Total, TEC | 59,800 | 59,800 | 59,800 |
| Other Project Cost (OPC) | | | |
| OPC except D&D | | | |
| FY BY-4 | 2,500 | 2,500 | 2,500 |
| FY BY | 9,500 | 9,500 | 9,500 |
| Total, OPC except D&D | 12,000 | 12,000 | 12,000 |
| D&D | | | |
| FY BY | 10,000 | 10,000 | 10,000 |
| Total, D&D | 10,000 | 10,000 | 10,000 |
| OPC | | | |
| FY BY-4 | 2,500 | 2,500 | 2,500 |
| FY BY | 19,500 | 19,500 | 19,500 |
| Total, OPC | 22,000 | 22,000 | 22,000 |
| Total Project Cost (TPC) | | | |
| FY BY-4 | 2,500 | 2,500 | 2,500 |
| FY BY-3 | 5,000 | 5,000 | 600 |
| FY BY-2 | 0 | 0 | 3,000 |
| FY BY-1 | 800 | 800 | 2,100 |
| FY BY | 51,500 | 51,500 | 38,600 |
| FY BY+1 | 22,000 | 22,000 | 32,000 |
| FY BY+2 | 0 | 0 | 3,000 |

**Denotes new/revised guidance (in red and marked with an asterisk).*

(dollars in thousands)

| Appropriations | Obligations | Costs |
|----------------|-------------|-------|
|----------------|-------------|-------|

| | | | |
|------------|--------|--------|--------|
| Total, TPC | 81,800 | 81,800 | 81,800 |
|------------|--------|--------|--------|

* Includes \$800k for long-lead procurement.

Provide footnote for long lead procurement showing the associated FY appropriation(s). Funds for long lead equipment may be requested prior to Performance Baseline Validation if approved by the Acquisition Executive.

Clearly identify other related PDS numbers, i.e., PED.

For a PED PDS or if project does not have CD-2 approval, do not provide the following dollars: the construction, OPC D&D, and TPC, unless construction PDS had been previously submitted.

6. Details of Project Cost Estimate

(dollars in thousands)

| Current Total Estimate | Previous Total Estimate ^a | Original Validated Baseline |
|------------------------------|--|-----------------------------------|
|------------------------------|--|-----------------------------------|

Total Estimated Cost (TEC)

Design (PED)

| | | | |
|--------|-------|-------|-------|
| Design | 4,600 | 4,600 | 4,600 |
|--------|-------|-------|-------|

^a Previous Total Estimate is from FY BY-1 PDS.

**Denotes new/revised guidance (in red and marked with an asterisk).*

(dollars in thousands)

| | Current Total Estimate | Previous Total Estimatea | Original Validated Baseline |
|-------------------------------|------------------------------|--------------------------------|-----------------------------------|
| Contingency | 400 | 400 | 400 |
| Total, PED (PED no. 04-D-203) | 5,000 | 5,000 | 5,000 |
| Construction | | | |
| Site Preparation | 5,000 | 5,000 | 5,000 |
| Equipment | 10,800 | 10,800 | 10,800 |
| Other Construction | 36,000 | 36,000 | 36,000 |
| Contingency | 3,000 | 3,000 | 3,000 |
| Total, Construction | 54,800 | 54,800 | 54,800 |
| Total, TEC | 59,800 | 59,800 | 59,800 |
| Contingency, TEC | 3,400 | 3,400 | 3,400 |
| Other Project Cost (OPC) | | | |
| OPC except D&D | | | |
| Conceptual Planning | 1,250 | 1,250 | 1,250 |
| Conceptual Design | 1,250 | 1,250 | 1,250 |
| Start-Up | 7,500 | 7,500 | 7,500 |
| Contingency | 2,000 | 2,000 | 2,000 |
| Total, OPC except D&D | 12,000 | 12,000 | 12,000 |
| D&D | | | |
| D&D | 8,000 | 8,000 | 8,000 |
| Contingency | 2,000 | 2,000 | 2,000 |

**Denotes new/revised guidance (in red and marked with an asterisk).*

| (dollars in thousands) | | | |
|------------------------|------------------------------|--------------------------------|-----------------------------------|
| | Current Total Estimate | Previous Total Estimatea | Original Validated Baseline |
| Total, D&D | 10,000 | 10,000 | 10,000 |
| Total, OPC | 22,000 | 22,000 | 22,000 |
| Contingency, OPC | 4,000 | 4,000 | 4,000 |
| Total, TPC | 81,800 | 81,800 | 81,800 |
| Total, Contingency | 7,400 | 7,400 | 7,400 |

“Original Validated Baseline” refers to CD-2 approval.

“Previous Total Estimate” refers to previous FY PDS or leave blank if PDS is new for a new project

.

For a PED PDS or if project does not have CD-2 approval, do not provide the following dollars: the construction, OPC D&D, and TPC, unless construction PDS had been previously submitted.

7. Schedule of Project Costs

For schedule of project costs, see Section 5, “Financial Schedule.”

8. Related Operations and Maintenance Funding Requirements

| | |
|---|-----------|
| Start of Operation or Beneficial Occupancy (fiscal quarter or date) | 2QFY BY+2 |
| Expected Useful Life (number of years) | 20 |

**Denotes new/revised guidance (in red and marked with an asterisk).*

Expected Future Start of D&D of this capital asset (fiscal quarter)

3QFY BY+22

(Related Funding requirements)

(dollars in thousands)

| | Annual Costs | | Life Cycle Costs | |
|---------------------------------|------------------------|-------------------------|------------------------|-------------------------|
| | Current Total Estimate | Previous Total Estimate | Current Total Estimate | Previous Total Estimate |
| Operations | 750 | 750 | 22,500 | 22,500 |
| Maintenance | 1,500 | 1,500 | 45,000 | 45,000 |
| Total, Operations & Maintenance | 2,250 | 2,250 | 67,500 | 67,500 |

For a PED PDS or if project does not have CD-2 approval, state “Not applicable for PED.”

Provide information if construction funds are requested.

Escalation is a factor in determining the life cycle costs. For escalation rate assumptions, refer to the budget call. Information must be the consistent with associated Exhibit 300 “Summary of Spending.” The OMB Circular A-11 Capital Programming Guide states, “The cost of a capital asset is its full life-cycle cost, including all direct and indirect costs for planning, procurement (purchase price and all other costs incurred to bring it to a form and location suitable for its intended use), operations and maintenance (including service contracts), and disposal.”

"Expected Future Start of D&D of this capital asset" refers to the D&D of the capital asset for this PDS.

9. Required D&D Information

| Area | Square Feet |
|------|-------------|
|------|-------------|

Area of new construction

Area of existing facility(s) being replaced

**Denotes new/revised guidance (in red and marked with an asterisk).*

Area of additional D&D space to meet the “one-for-one” requirement

Name(s) and site location(s) of existing facility(s) to be replaced:

For a PED PDS or if project does not have CD-2 approval, state “Not applicable for PED.”

For any new or existing project that requests construction funding for the first time, explain how this project will comply with the “replacement of existing facilities” and the “one-for-one” requirements. Include the date(s) for D&D including the program office responsible for funding the D&D activity, as well as the relevant appropriation account and control point in the budget.

The Report language accompanying the FY 2005 Energy and Water Development Appropriations Bill directs that:

“The costs of D&D for the facilities that are being replaced be included in the costs of all construction projects and identify such D&D costs clearly in the construction project data sheets.”

There is a related requirement from the FY 2002 Energy and Water and Water Development Appropriations Bill Conference Report (107-258), whereby construction of new facilities require elimination of space equal to the new amount of space being constructed. This requirement is commonly referred to as the “one-for-one” requirement. The specific language is:

“For new construction projects requested in fiscal year 2003, the conferees expect the budget to show the square footage of each new project, and request funding for the elimination by transfer, sale or demolition of excess buildings and facilities of equivalent size. This excess reduction to new construction formula does not apply to environmental management closure sites. The conferees expect the fiscal year 2003 budget to contain funds to eliminate excess facilities based on the greatest impact on long-term costs and risks. The department should apply this requirement to each site. Only if deemed impracticable due to critical mission requirements, through a case-by-case waiver approved by the Secretary through the Chief Financial Officer, should the requirement be met through the reduction of excess facilities at another site. The Department will collect information from all sites on the square footage of excess property sold, transferred, or demolished each year and submit a report to Congress 45 days after the President’s budget is presented to Congress.”

**Denotes new/revised guidance (in red and marked with an asterisk).*

There are five D&D cases described below that result from the above requirements.

Case 1: **New construction replaces existing facility with no net increase to existing square footage.** In this case, the new construction is offset with the D&D of the existing facility.

Case 2: New construction has **more square footage** than the facility being replaced. In this case, the additional square footage must be offset with additional D&D and/or “banked excess.”

Case 3: New construction has **less square footage** than the facility being replaced. The square footage difference between the new construction and the facility being replaced can be banked.

Case 4: The existing facility will be **converted to another use.** In this case, new construction, if any, square footage must be offset by D&D and/or “banked excess.”

Case 5: The **new construction is not replacing an existing facility.** As with Case 4, the new construction square footage must be offset with D&D and/or “banked excess”.

In general, D&D should be planned similarly to other project work such that cost and schedule estimates have a consistent level of detail as with other project work for requesting PED and construction funds. The D&D costs is part of the TPC, unless from ‘banked excess.’ Validation of Performance Baseline includes D&D work and will be part of the External Independent Review (EIR), as applicable.

10. Acquisition Approach

Describe how acquisition will be accomplished. This information should be summarized from the approved Acquisition Strategy for this project, and should be consistent with the OMB Exhibit 300.

For a PED PDS or if project does not have CD-2 approval, state “Not applicable for PED.”

4. **General Plant Projects (GPP)^a**

- a. GPPs are miscellaneous minor new construction projects of a general nature, the Total Estimated Costs (TEC) of which may not exceed the established limit. GPPs are necessary to adapt facilities to new or improved production techniques, to effect economies of operations, and to reduce or eliminate health, fire, and security problems. These projects provide for design or construction (or both), additions, and improvements to land, buildings, replacements or additions to roads, and general area improvements.
- b. By their nature, GPPs are difficult to detail in advance and are subject to changing priorities and requirements, emergencies, and contingencies arising after the budget submission that may force changes in scope, schedule, and the order in which these projects are undertaken.
- c. GPP funds are not intended to be used in incremental segments to construct larger facilities. Exercise care to ensure that each specific project is a discrete, stand-alone entity. Each project must result in the delivery of a complete and usable facility, including the initial complement of equipment required for the facility to meet its intended purpose. In this regard, only GPP funds can be used to make the facility complete and usable.
- d. When design is funded in one fiscal year and construction is funded in the next fiscal year, every effort must be made to complete the construction as early as possible. The cognizant field element must maintain controls to ensure compliance with the Congressionally established limit and incremental funding prohibitions.
- e. For all GPPs, only TEC should be applied against the established limit. These costs include preliminary and final design, construction activities, and as-built drawings.
- f. Other Project Cost (OPC) do not apply to the established limit for GPPs. These costs include NEPA reviews and documentation, conceptual design activities, engineering studies, and transition to operation (pre CD-4).
- g. Refer to Attachment D of the most current Field Budget Call for GPP funding limits.

^a *This guidance was moved from Attachment D.*

**Denotes new/revised guidance (in red and marked with an asterisk).*

5. **Capital Operating Expenses and Construction Summary**^a

- a. Summarizes all construction and/or capital-related operating expenses at the major program level.
- b. Capital Operating Expenses – separately display the total funding and dollar and percentage changes for Capital Equipment, General Plant Projects, Accelerator Improvement Projects, and Project-Related Costs (includes conceptual design reports and other project-related costs which include operating expenses such as R&D, preparation of design criteria, safety analyses, and environmental documentation prior to project authorization). The capitalization threshold is \$25,000. Separately identify (by project) conceptual design costs and other project-related costs (operating-expense funded) that exceed \$3 million.
- c. Construction Projects – separately display each line-item construction project.
- d. Major Items of Equipment – Separately display major items of equipment, including Information Technology (IT) Equipment, that have a value of \$2 million or more (irrespective of method of acquisition, type of funding used, or whether annual lease costs are less than \$2 million; for new items, value is based on listed, anticipated, or actual purchase price; for used, re-utilization of DOE-reassigned, Government excess, or exchange/sale items, value based on current estimated market value). For MIEs with a TPC greater than \$5 million, show TEC, OPC, and TPC.

^a *This guidance was moved from Attachment D.*

**Denotes new/revised guidance (in red and marked with an asterisk).*

Capital Operating Expenses and Construction Summary

Capital Operating Expenses

(dollars in thousands)

General Plant Projects
New Project Bbbbbb
New Project Ccccc
Capital Equipment
Total, Capital Operating Expenses

| FY PY | FY CY | FY BY |
|---------|---------|---------|
| 00,000 | 00,000 | 00,000 |
| — | — | 00,000 |
| — | — | 00,000 |
| 00,000 | 00,000 | 00,000 |
| 000,000 | 000,000 | 000,000 |

If TEC changes, the project baseline may need to be re-validated.

Construction Projects

(dollars in thousands)

Project Aaaaa
New Project Bbbbbb
New Project Ccccc
Total, Construction Projects

| Total Project Cost (TPC) | Other Project Cost (OPC) | Total Estimated Cost (TEC) | Prior-Year Appropriations | FY PY | FY CY | FY BY | Unappropriated Balance |
|--------------------------|--------------------------|----------------------------|---------------------------|--------|--------|--------|------------------------|
| 00,000 | 00,000 | 00,000 | 00,000 | 00,000 | 00,000 | 00,000 | 00,000 |
| 00,000 | 00,000 | 00,000 | — | — | — | — | 00,000 |
| 00,000 | 00,000 | 00,000 | — | — | — | — | 00,000 |
| | | | | 00,000 | 00,000 | 00,000 | |

If TEC changes, the project baseline may need to be re-validated.

Major Items of Equipment (*TEC \$2 million or greater*)*

(dollars in thousands)

Project Aaaaa
New Project Bbbbbb
New Project Ccccc
Total, Major Items of Equipment

| Total Project Cost (TPC) | Other Project Cost (OPC) | Total Estimated Cost (TEC) | Prior-Year Appropriations | FY PY | FY CY | FY BY | Completion Date |
|--------------------------|--------------------------|----------------------------|---------------------------|--------|--------|--------|-----------------|
| 00,000 | 00,000 | 00,000 | 00,000 | 00,000 | 00,000 | 00,000 | FY XXXX |
| 00,000 | 00,000 | 00,000 | — | — | — | — | FY XXXX |
| 00,000 | 00,000 | 00,000 | — | — | — | — | FY XXXX |
| | | | | 00,000 | 00,000 | 00,000 | |

In addition to reporting all MIE projects with a TEC ≥ \$2M, also report TPC ≥ \$5M

6. General Plant Projects (GPP) and Accelerator Improvement Projects (AIP)

- a. The Subcommittee on Energy and Water Development Appropriations has merged capital equipment, general plant projects (GPP), and most accelerator improvement projects (AIP) with operating funding. Construction activity that is less than \$5,000,000 per project will be included in the operation and maintenance accounts. However, the Committee directed the Department, in implementing these changes, to continue to reflect capital equipment, general plant projects, and accelerator improvement projects in financial and accounting reports. Also, the committee directed that specific details for planned capital equipment and general plant projects be included in the annual budget justifications.
- b. Program specific GPP or AIP are to be funded by the benefiting program. The site landlord should insure that sufficient support is provided for non-program specific GPP or AIP consistent with all other operational and maintenance funded landlord activities. GPP or AIP projects may not be funded from overhead or other indirect functional accounts.
- c. While some information concerning GPP and AIP are requested for use by Headquarters Program Offices in preparing the FY BY budget request to OMB and the Congress, Field and Operations Offices are responsible for monitoring the details of GPP and AIP activities of sites under their jurisdiction. Field and Operations Offices will be required to provide necessary details of GPP and AIP activities of their sites on request.
- d. The format for the Field Budget submission for reporting and requesting funding for General Plant Projects and Accelerator Improvement Projects by site is provided in Figure II-5.1, and consists of two parts.
 - (1) Part I Summary is a tabulation of the GPP or AIP by Headquarters Organization and Budget and Reporting (B&R) code. For each B&R, the obligations and costs for the FY PY, the FYCY, and the FY BY. The total obligations and costs for each year by the site should also be shown. The financial data from Part II Project Listings should be reconciled with Part I.
 - (2) Part II Project Listing is a brief description of the GPP or AIP accomplishments expected in the PY with available funds, currently anticipated for the FY CY and the FY BY if the FY CY and FY BY funding requests are approved. At the time of submission of the Field Budget Request, the PY is roughly one-half complete. The anticipated GPP or AIP activities for the FY CY are in the budget request being considered by the Congress. If the anticipated GPP or AIP activities for the FY CY are now expected to be different than those submitted to the Congress, explain the reason and impact.
 - (3) Each FY PY project shall be described on a separate section of the project listing form. Individual FY CY projects, if known, should be described on a separate section also. Generic FY CY and FY BY projects may be grouped on a single section of the project listing form.
 - (a) The data elements for Part I are as follows:
 - 1 Site Name - the name assigned by DOE Headquarters.

**Denotes new/revised guidance (in red and marked with an asterisk).*

- 2 Landlord - the funding Headquarters Program designated to oversee multi-program and facility infrastructure requirements.
 - 3 Contact Person -The name, phone number, fax number, and e-mail address of the person to be contacted concerning project information provided.
 - 4 Field Office - the Operations, field, or project office, or other non-Headquarters element responsible for the site.
 - 5 Budget & Reporting Classification Code (B&R) that provides funding for the GPP or AIP. If a single B&R provides the GPP or AIP funding at the site, a total line is not required.
- (b) Data elements for Part II are:
- 1 Site Name - the name assigned by DOE Headquarters.
 - 2 Landlord - the funding Headquarters Program designated to oversee multi-program and facility infrastructure requirements.
 - 3 Narrative Description - for BY PY and known BY CY projects, describe the problem severity and mission importance of the project, the project scope in terms of capacity or other shortcomings remediated, and other justification for the project.
- (c) For generic FY CY and FY BY projects, describe the backlog of unfilled requirements and substandard assets by use category name, summarize findings of any condition assessment surveys, and provide any other justification for use GPP or AIP funds.
- 1 Funding B&R - enter the program B&R that will fund the GPP or AIP activity.
 - 2 Obligation Profile – summarize the amount in thousands for the activities anticipated in each fiscal year.
 - 3 Cost Profile - summarize the amount in thousands for the activities anticipated in each fiscal year.
1. Direct questions concerning GPP or AIP reporting to the Office of Engineering and Construction Management (MA-50).

Figure II-5.1

| | FY PY | | FY CY | | FY BY | |
|---------------------------------|-------------|-------|-------------|-------|-------------|-------|
| | Obligations | Costs | Obligations | Costs | Obligations | Costs |
| HQ Program Office B&R | | | | | | |
| B&R # 1 | | | | | | |
| B&R # 2 | | | | | | |
| Subtotal, HQ Program Office # 1 | | | | | | |
| B&R #n | | | | | | |
| Subtotal, HQ Program Office #n | | | | | | |
| Landlord Funded GPP B&R | | | | | | |
| Total Site | | | | | | |

**Denotes new/revised guidance (in red and marked with an asterisk).*

Narrative Description of GPPs (or AIPs) by fiscal year and funding B&R.

Site Name _____ Landlord _____

| FY | Description of GPP (or AIP) | Funding B&R | Obligation Profile for B&R | Cost Profile for B&R |
|----------------------|-----------------------------|-------------|--|--|
| 1. 2. 3. n. | | B& R #1 | PY _____ CY _____ BY _____ BY+1 _____ BY+2 _____ BY+3 _____ BY+4 _____ BY+5 _____ | PY _____ CY _____ BY _____ BY+1 _____ BY+2 _____ BY+3 _____ BY+4 _____ BY+5 _____ |
| FY | Description of GPP (or AIP) | Funding B&R | Obligation Profile for B&R | Cost Profile for B&R |
| 1. | | B&R #2 | PY _____ CY _____ BY _____ BY+1 _____ BY+2 _____ BY+3 _____ BY+4 _____ BY+5 _____ | PY _____ CY _____ BY _____ BY+1 _____ BY+2 _____ BY+3 _____ BY+4 _____ BY+5 _____ |

**Denotes new/revised guidance (in red and marked with an asterisk).*

Chapter 3

Supplemental Justification Materials

| | |
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Introduction In addition to submitting primary budget materials (Chapter 2), each laboratory, facility and contractor prepares and submits supplementary justification material exhibits, as appropriate. Provide copies of this material as shown in Attachment C of the FY BY Field Budget Call. Also refer to Attachment C for Points of Contact.

1. *Reimbursable Work – Federal And Non Federal

- a. Reimbursable work is defined as any work or service performed by DOE and DOE contractors for either a Federal or non-Federal customer which is part of the customer's mission responsibility and for which the Department does not receive direct appropriated funds from Congress. Reimbursable work is financed through funds provided by Federal customers or from cash advances received from non-Federal customers. Sample formats are provided at the end of this section.
- b. *Reimbursable Work for Other Federal Agencies.
 - (1) Provides additional information for limitation .93 reimbursements, Reimbursable Work for Other Federal Agencies, which is necessary to comply with OMB Circular No. A-11 requirements.
 - (2) This schedule should be formatted as shown in the figure. Estimates for total obligation authority should be provided on one schedule for FY PY, FY CY, and FY BY.
 - (3) *Except for the power marketing and Federal Energy Regulatory Commission (FERC) appropriations, Reimbursable Work for Other Federal Agencies will be identified in **four** separate appropriations: 1) 89X0240, Weapons Activities (*fund code 00910*), for defense **work related to the weapons activities, defense nuclear nonproliferation (except those activities that are currently processed in Energy Supply and Conservation which have been split into four separate accounts: Nuclear Energy, Electricity Delivery and Energy Reliability, Legacy Management, and Energy Efficiency and Renewable Energy), and naval reactors programs.** 2) 89X0243, Other Defense Activities (*fund code 01055*) for other defense-related activities and/or any of the DOE programs funded under the Other Defense Activities appropriation account (such as nuclear energy (defense-related); security and safety performance assurance/environmental, safety and health (Defense)/health, safety and security; cybersecurity and secure communications; intelligence; and counterintelligence). 3) 89X0224, Energy Supply and Conservation (*fund code 00556*), **existing reimbursable work orders for energy related work.** 4) 89X0222, Science (*fund code to be determined*) for non-defense energy activities.
 - (4) Reimbursable work for the power marketing and Federal Energy Regulatory Commission (FERC) appropriations will be identified against the appropriate account.
 - (5) *Budget and Reporting Classification 40 has been designated for Reimbursable Work for Other Federal Agencies. For each **Budget and Reporting Classification** (B&R) *reflected* on the reimbursable schedule, a brief narrative should be added which describes the nature of work along with associated funding levels for each of the three years provided in the budget. Separate statements should be provided when more than one major work activity is performed under a single B&R line.
 - (6) *Unobligated budget authority for Reimbursable Work for Other Federal Agencies *may* expire at the end of *the* fiscal year. When determining obligation requirements for each fiscal year, care should be taken to assure that sufficient budget authority is requested to fund all obligations expected to be incurred in that fiscal year; i.e., if the terms of any unobligated reimbursable agreements at year-end are such that they will still be available for obligation in the next fiscal year, requests for total obligation

**Denotes new/revised guidance (in red and marked with an asterisk).*

authority should include amounts for these carryover reimbursable agreements as well as for anticipated new agreements.

- (7) *In addition to providing contractor estimates by B&R, the grand total for each contractor, *identified by reporting entity code (xxxxxx)*, must be provided for total program 40 at the end of the schedule for each appropriation.
- c. *Reimbursable Work for Non-Federal Entities (*excluding* Third Party Receipts from Technology Transfer Activities included in paragraph d, below).
- (1) Provides additional information for limitation .92 reimbursements, Reimbursable Work for Non-Federal Entities, which is necessary to comply with OMB Circular A-11 requirements.
 - (2) This schedule should be formatted as shown in the exhibit. Estimates for total obligation authority should be provided on one schedule for FY PY, FY CY, and FY BY.
 - (3) *Except for the power marketing and Federal Energy Regulatory Commission (FERC) appropriations, Reimbursable Work for Non-Federal Entities will be identified in **three** separate appropriations: **1) 89X0240, Weapons Activities (*fund code 00909*), for defense work related to the weapons activities, defense nuclear nonproliferation (except those activities that are currently processed in Energy Supply and Conservation which have been split into four separate accounts: Nuclear Energy, Electricity Delivery and Energy Reliability, Legacy Management, and Energy Efficiency and Renewable Energy), and naval reactors programs. 2) 89X0243, Other Defense Activities (*fund code 01056*) for other defense-related activities and/or any of the DOE programs funded under the Other Defense Activities appropriation account (such as nuclear energy (defense-related); security and safety performance assurance/environmental, safety and health (Defense)/health, safety and security; cybersecurity and secure communications; intelligence; and counterintelligence). 3) 89X0224, Energy Supply and Conservation (*fund code 00555*), existing reimbursable work orders for energy related work. 4) 89X0222, Science (*fund code to be determined*) for non-defense energy activities.**
 - (4) Cash advances are required for all non-Federal reimbursable work except as indicated in DOE Accounting Handbook Chapter 13, "Reimbursable Work, Revenues, and Other Collections."
 - (5) Budget and Reporting Classification 60 has been designated for Reimbursable Work for Non-Federal Entities. For any anticipated Non-Federal reimbursable work, the schedule should provide the name of the Non-Federal entity, a description of the work to be performed, and a related dollar amount for each of the three years provided in the budget.
 - (6) *In addition to providing contractor estimates by B&R, the grand total for each contractor *identified by reporting entity code (xxxxxx)*, must be provided for total program 60 at the end of the schedule for each appropriation.
- d. Third-Party Receipts from Technology Transfer Activities.

- (7) Provides additional information for limitation .95 reimbursements, Third-Party Receipts from Technology Transfer Activities, which is necessary to comply with OMB Circular A-11 requirements.
 - (8) This schedule should be formatted as shown in the figure. Estimates for total obligation authority should be provided on one schedule for FY PY, FY CY, and FY BY.
 - (9) *Third-Party Receipts from Technology Transfer Activities are identified in three separate appropriations: 1) 89X0240, Weapons Activities (*fund code 00908*), for defense work related to the weapons activities, defense nuclear nonproliferation (except those activities that are currently processed in Energy Supply and Conservation which have been split into four separate accounts: Nuclear Energy, Electricity Delivery and Energy Reliability, Legacy Management and Energy Efficiency and Renewable Energy), and naval reactors programs. 2) 89X0243, Other Defense Activities (*fund code 01057*) for other defense-related activities and/or any of the DOE programs funded under the Other Defense Activities appropriation account (such as nuclear energy; security and safety performance assurance/environmental, safety and health (Defense)/health, safety and security; cybersecurity and secure communications; intelligence; and counterintelligence). 3); and 89X0224, Energy Supply and Conservation (*fund code 00554*), existing third-party receipts from technology transfer activities for energy related work. 4) 89X0222, Science (*fund code to be determined*) for non-defense energy activities.
 - (10) Cash advances are required except as indicated in DOE Accounting Handbook Chapter 13, "Reimbursable Work, Revenues, and Other Collections."
 - (11) Budget and Reporting Classification 65 has been designated for Third-Party Receipts from Technology Transfer Activities. The schedule should provide the name of the other party, a description of the work to be performed, and the related dollar amount for each of the three years provided in the budget.
 - (12) *In addition to providing contractor estimates by B&R, the grand total for each contractor, identified by reporting entity code (xxxxxx), must be provided for total program 65 at the end of the schedule for each appropriation.
- e. These estimates should not exceed the approved overall level for non-DOE funded work at a particular facility that has been established by the cognizant program at Headquarters as provided for in DOE 4300.2C.
- (13)

Department of Energy
FY BY Field Budget
Reimbursable Work for Other Federal Agencies
 (Appropriation Symbol, Title, and Fund *Code*)
 (Organizational Component)

(in thousands of dollars)

| B&R Contractor Designation and Description | | FY PY Estimate | | FY CY Estimate | | FY BY Estimate | |
|--|--|--------------------------|------------------------------------|----------------|-----------------------|----------------|-----------------------|
| | | Direct Cost ¹ | Indirect Added Factor ² | Direct Cost | Indirect Added Factor | Direct Cost | Indirect Added Factor |
| 40-04 | Research and Development: | | | | | | |
| 01 | Department of Agriculture | | | | | | |
| | Jones National Laboratory – (for design and construction of new spectrometer to conduct electron spin echo experiments). | 600 | 19 | 700 | 22 | 800 | 26 |
| | Smith National Laboratory – (to conduct studies on structure and assembly of reaction center of photosystem 2) | 1,000 | 32 | 1,000 | 32 | 1,000 | 32 |
| | Total 40-04-01 | 1,600 | 51 | 1,700 | 54 | 1,800 | 58 |
| 02 | Department of Commerce | | | | | | |
| | Jones National Laboratory – (for tracer experiment to validate long-range atmospheric transports) | 250 | 8 | 400 | 13 | 500 | 16 |
| | Total 40-04-02 | 250 | 8 | 400 | 13 | 500 | 16 |
| XX | List all appropriate B&Rs by contractor with description | | | | | | |
| | Total by B&R | 1,850 | 59 | 2,100 | 67 | 2,300 | 74 |
| Contractor Totals | | | | | | | |
| | Jones National Laboratory (xxxxxxxx ³) | 850 | 27 | 1,100 | 35 | 1,300 | 42 |
| | Smith National Laboratory (xxxxxxxx ³) | 1,000 | 32 | 1,000 | 32 | 1,000 | 32 |
| | Total by Contractor | 1,850 | 59 | 2,100 | 67 | 2,300 | 74 |

¹ Direct Cost is equal to Reimbursable Work Authority.² Added Factor is to be based on the Departmental Rate, plus any office variable, taken against the direct costs to be incurred within the fiscal year.³ Should reflect appropriate Reporting Entity code.**Denotes new/revised guidance (in red and marked with an asterisk).*

Department of Energy
FY BY Field Budget
Reimbursable Work for Non-Federal Entities
(Appropriation Symbol, Title, and Fund *Code*)
(Organizational Component)

(dollars in thousands)

| B&R Contractor Designation and Description | FY PY Estimate | | | FY CY Estimate | | | FY BY Estimate | | |
|--|--------------------------|----------------------------|---------------------------|----------------|---------------|--------------|----------------|---------------|--------------|
| | Direct Cost ² | Indirect Cost ¹ | | Direct Cost | Indirect Cost | | Direct Cost | Indirect Cost | |
| | | Added Factor ³ | Depreciation ⁴ | | Added Factor | Depreciation | | Added Factor | Depreciation |
| 60-00 | | | | | | | | | |
| Jones National Laboratory State of California – to analyze test results related to clean air studies | 4,000 | 680 | 260 | 5,000 | 850 | 325 | 5,000 | 850 | 325 |
| Smith National Laboratory XYZ Corporation – to conduct an aerial survey of corporation's oil refineries | 500 | 85 | 33 | 0 | 0 | 0 | 0 | 0 | 0 |
| XX-xx | | | | | | | | | |
| List all appropriate B&Rs by contractor with description | | | | | | | | | |
| Total by B&R | 4,500 | 765 | 293 | 5,000 | 850 | 325 | 5,000 | 850 | 325 |
| Contractor Totals | | | | | | | | | |
| Jones National Laboratory (xxxxxxxx) | 4,000 | 680 | 260 | 5,000 | 850 | 325 | 5,000 | 850 | 325 |
| Smith National Laboratory (xxxxxxxx) | 500 | 85 | 33 | 0 | 0 | 0 | 0 | 0 | 0 |
| Total by Contractor | 4,500 | 765 | 293 | 5,000 | 850 | 325 | 5,000 | 850 | 325 |

¹ All waivers are to be specifically identified and added factor and depreciation rates appropriately footnoted.

² Direct Cost is equal to Reimbursable Work Authority.

³ Added Factor is to be based on the Departmental Rate, plus any operations/field office rate, applied to the direct costs to be incurred within the fiscal year.

⁴ Depreciated rates are site specific and applied to the direct costs.

**Denotes new/revised guidance (in red and marked with an asterisk).*

Department of Energy
FY BY Field Budget
Third-Party Receipts from Technology Transfer Activities
(Appropriation Symbol, Title, and Fund *Code*)
(Organizational Component)

(dollars in thousands)

| B&R Contractor Designation and Description | FY PY Estimate | | | FY CY Estimate | | | FY BY Estimate | | |
|---|--------------------------|----------------------------|---------------------------|----------------|---------------|--------------|----------------|---------------|--------------|
| | Direct Cost ² | Indirect Cost ¹ | | Direct Cost | Indirect Cost | | Direct Cost | Indirect Cost | |
| | | Added Factor ³ | Depreciation ⁴ | | Added Factor | Depreciation | | Added Factor | Depreciation |
| 65-00 | | | | | | | | | |
| Smith National Laboratory | | | | | | | | | |
| Customer X – Description of activity | 4,000 | 680 | 260 | 5,000 | 850 | 325 | 5,000 | 850 | 325 |
| Jones National Laboratory | | | | | | | | | |
| Customer Y - | 500 | 85 | 33 | 0 | 0 | 0 | 0 | 0 | 0 |
| Jones National Laboratory | | | | | | | | | |
| Customer Z - | 200 | 34 | 13 | 300 | 51 | 20 | 400 | 68 | 26 |
| XX-xx List of all appropriate B&Rs by contractor with description | | | | | | | | | |
| Total Third Party Receipts from Technology Transfer Activities | 4,500 | 799 | 306 | 5,300 | 901 | 345 | 5,400 | 918 | 351 |
| Contractor Totals | | | | | | | | | |
| Smith National Laboratory | | | | | | | | | |
| (xxxxxxx ⁵) | 4,000 | 680 | 260 | 5,000 | 850 | 325 | 5,000 | 850 | 325 |
| Jones National Laboratory | | | | | | | | | |
| (xxxxxxx ⁵) | 700 | 119 | 46 | 300 | 51 | 20 | 400 | 68 | 26 |
| Total by Contractor | 4,700 | 799 | 306 | 5,300 | 901 | 345 | 5,400 | 918 | 351 |

¹ Activities for which the Departmental added factor and depreciation charges are considered part of DOE's contribution to agreements pursuant to the National Competitiveness Technology Transfer Act of 1989 are to be specifically identified and added factor and depreciation rates appropriately footnoted.

² Direct Cost is equal to Reimbursable Work Authority.

³ Added Factor is to be based on the Departmental Rate, plus any operations/field office rate, applied to the direct costs to be incurred within the fiscal year.

⁴ Depreciated rates are site specific and applied to the direct costs.

⁵ Should reflect appropriate Reporting Entity code.

**Denotes new/revised guidance (in red and marked with an asterisk).*

2. Cost of Work for Others and Revenues

- a. These schedules provide the basic input data required to formulate the FY BY budget submission for the Cost of Work for Others and Revenue Programs. **These programs differ from the Reimbursable program because participants in the Cost of Work for Others program are prohibited by law from making advance payments. For this reason the Department seeks appropriated funds from Congress.** Charges to this program are for products sold or services performed for non-DOE users that will ultimately reimburse DOE for all appropriate costs incurred. These charges are not to exceed the associated revenues to be received over the life of the project or activity. All costs should be in compliance with DOE Order 2110.1A, Pricing of Departmental Materials and Services. A separate schedule should be prepared for Cost of Work and Revenues. Additionally, schedules should be submitted by individual DOE Operations Offices and M&O contractors, as appropriate.
 - (1) Column (1) should show the Budget and Reporting (B&R) classification.
 - (2) Column (2) should identify all Cost of Work for Others, or Revenues, as appropriate, to the lowest possible B&R classification and contractors involved.
 - (3) Column (3) should show the FY PY latest estimate.
 - (4) Column (4) should show the FY CY President's request as show in the current Congressional budget request before Congress. Column (4a) should show the latest revised FY CY budget estimates.
 - (5) Column (5) should show the FY BY budget request. This request is to be fully explained and justified (in bullet format) in the Narrative Justification.
 - (6) The summary of changes from FY CY President's Budget to the FY BY estimates should be explained in concise bullet form and describe what is changing, the amount of change and the reason for the change. **To be useful, the reference for these changes should not be from the Estimate but from the President's Budget as submitted to Congress.**
 - (7) For the Revenue schedule, the sub-headings below columns 3 thru 5 should reflect revenues collected (revenues expected to be collected and deposited in the special fund). If any collections should carry forth into the next fiscal year this should be explained in the narrative justification.
 - (8) For the Revenue schedule, show separately amounts for added factor and depreciation for each line item. For budget estimating purposes, the rate used to calculate added factor should be the most current rate issued by the CFO, (CR-1) at the time field estimates are prepared. The rate used should be indicated on submission schedules. Exceptions to the collection of the added factor and/or depreciation require the prior approval of the CFO.
 - (9) The narrative justification should be a concise justification for the activities and/or work to be performed as opposed to a lengthy program description. It should describe how the funding level for the BY year was derived and why it is the correct amount.

Department of Energy
FY BY Field Budget Request
Cost of Work for Others

Budget Contact: _____
 DOE Field Office: Kansas City DOE Field Office
 Lab/Facility: Lawrence Livermore National Laboratory

(dollars in thousands)

| (1) | (2) | (3) | (4) | (4a) | (5) |
|-------|--|-----------------------|--------------------------|---------------------------|-----------------------------|
| B&R | Activity | FY PY Latest Estimate | FY CY President's Budget | FY CY Revised Est. Budget | FY BY Request (Direct) Cost |
| WE-01 | Products Sold | | | | |
| 0102 | Nuclear Reactor Material: | 3,033 | 0 | 0 | 0 |
| | - Heavy Water | 4,773 | \$5,367 | \$5,367 | \$5,367 |
| 0103 | Radioisotopes | 2,694 | 2,682 | 2,682 | 1,685 |
| 0104 | Stable Isotopes | | | | |
| 0105 | Handling Charges: | | | | |
| | - Radioisotopes | 208 | 230 | 230 | 230 |
| | - Stable Isotopes | 76 | 83 | 83 | 83 |
| 0119 | Miscellaneous Products: | | | | |
| | - United Kingdom | 3,600 | 2,000 | 2,000 | 1,000 |
| | Total, Products Sold | 14,384 | 10,362 | 10,362 | 8,365 |
| WE-02 | Services Performed | | | | |
| 0202 | Use of DOE-owned Facilities and Equipment: | | | | |
| | - SERI | 0 | 1,404 | 1,404 | 2,000 |
| | - University of California | 3,000 | 3,200 | 3,200 | 3,200 |
| 0203 | Irradiation Services and Test Reactor Experiments: | | | | |
| | - General Electric | 1,010 | 1,200 | 1,200 | 1,200 |
| | - Ontario Hydro | 290 | 0 | 0 | 0 |
| 0205 | Security Investigations | 6 | 6 | 6 | 6 |
| 0206 | Special Services and Fabrication: | | | | |
| | - EPRI | 500 | 600 | 600 | 600 |
| | - Gas Research Institute | 485 | 176 | 176 | 478 |
| 0207 | Research for Production of Public Health and Safety: | | | | |
| 0219 | Miscellaneous Services: | | | | |
| | - REECO | 2,037 | 1,129 | 1,129 | 2,200 |
| | - Hot Dry Rock | | | | |
| | --Germany | 2,500 | 2,500 | 2,500 | 2,286 |
| | - University of Tokyo | 600 | 900 | 900 | 900 |
| | Total, Services Performed | 10,428 | 11,115 | 11,115 | 12,870 |

**Denotes new/revised guidance (in red and marked with an asterisk).*

(dollars in thousands)

| (1) | (2) | (3) | (4) | (4a) | (5) |
|-----|--------------------------------|-----------------------|--------------------------|---------------------------|-----------------------------|
| B&R | Activity | FY PY Latest Estimate | FY CY President's Budget | FY CY Revised Est. Budget | FY BY Request (Direct) Cost |
| | Total, Cost of Work for Others | 24,812 | 21,477 | 21,477 | 21,235 |

WN-01

0102 Heavy Water -

0103 Radioisotopes -

Narrative Justification

Summary of Changes from FY CY President's Budget to FY BY Request

**Denotes new/revised guidance (in red and marked with an asterisk).*

Revenues Not Associated with Cost of Work
Department of Energy
FY BY Field Budget
Revenues Collected

DOE Field Office: Kansas City DOE Field Office

Lab/Facility: Lawrence Livermore National Laboratory

(dollars in thousands)

| (1) | (2) | (3) | | | (4) | | | (5) | | |
|---|--|-----------------|---------------|--------------|--------------------------|---------------|--------------|-------------|---------------|-------|
| | | FY PY Estimates | | | FY CY President's Budget | | | FY BY | | |
| | | Direct Cost | Indirect Cost | | Direct Cost | Indirect Cost | | Direct Cost | Indirect Cost | |
| Added Factor | Depreciation | | Added Factor | Depreciation | | Added Factor | Depreciation | | | |
| B&R | Activity | | | | | | | | | |
| Revenues Associated with Costs of Work: | | | | | | | | | | |
| ZN- | | | | | | | | | | |
| 01 | Products Sold | | | | | | | | | |
| | Nuclear Reactor | | | | | | | | | |
| 0102 | Material: | | | | | | | | | |
| | - Heavy Water | 3,033 | 21 | 485 | 0 | 0 | 0 | 0 | 0 | 0 |
| 0103 | Radioisotopes | 4,733 | 334 | 764 | \$5,367 | \$376 | \$859 | \$5,175 | \$362 | \$828 |
| 0105 | Stable Isotopes | 2,694 | 189 | 431 | 2,682 | 188 | 429 | 1,685 | 118 | 270 |
| | Handling Charges: | | | | | | | | | |
| | - Radioisotopes | 208 | 15 | 33 | 230 | 16 | 37 | 210 | 15 | 34 |
| 0119 | - Stable Isotopes | 76 | 5 | 12 | 83 | 6 | 13 | 38 | 1 | 6 |
| | Miscellaneous | | | | | | | | | |
| | Products: | | | | | | | | | |
| | - United Kingdom | | | | | | | | | |
| CE- | | | | | | | | | | |
| XX | | | | | | | | | | |
| | Total, Products Sold: | 10,744 | 564 | 1,725 | 8,362 | 586 | 1,338 | 7,108 | 496 | 1,138 |
| ZN- | | | | | | | | | | |
| 02 | Services Performed | | | | | | | | | |
| 0202 | - SERI | | | | 1,404 | 98 | 225 | 2,000 | 140 | 320 |
| | - University of California | 3,000 | 210 | 480 | 3,200 | 224 | 512 | 3,200 | 224 | 512 |
| | Irradiation Services and Test Reactors | | | | | | | | | |
| 0203 | experiments: | 1,010 | 71 | 162 | 1,200 | 84 | 192 | 1,200 | 84 | 192 |
| | - General Electric | 6 | 1 | 1 | 6 | 1 | 1 | 6 | 1 | 1 |
| | Security | | | | | | | | | |
| 0205 | Investigations | | | | | | | | | |

**Denotes new/revised guidance (in red and marked with an asterisk).*

| | | (dollars in thousands) | | | | | | | | |
|----------------------------|---------------------|------------------------|--------------|--------------|--------------------------|--------------|--------------|---------------|--------------|--------------|
| (1) | (2) | (3) | | | (4) | | | (5) | | |
| | | FY PY Estimates | | | FY CY President's Budget | | | FY BY | | |
| | | Indirect Cost | | | Indirect Cost | | | Indirect Cost | | |
| | | Direct Cost | Added Factor | Depreciation | Direct Cost | Added Factor | Depreciation | Direct Cost | Added Factor | Depreciation |
| B&R | Activity | | | | | | | | | |
| 0206 | Special Services | | | | | | | | | |
| 0207 | and Fabrication: | 500 | 35 | 80 | 600 | 42 | 96 | 600 | 42 | 96 |
| | -EPRI | | | | | | | | | |
| | Research for Public | | | | | | | | | |
| | Health and Safety: | 485 | 34 | 78 | 176 | 12 | 28 | 478 | 33 | 76 |
| | - Gas Research | | | | | | | | | |
| 0219 | Institute | | | | | | | | | |
| | Miscellaneous | | | | | | | | | |
| | Services: | 2,037 | 143 | 326 | 1,129 | 79 | 181 | 2,200 | 154 | 352 |
| | - REECO | | | | | | | | | |
| | - Hot Rock | 2,500 | 175 | 400 | 2,500 | 175 | 400 | 2,275 | 159 | 364 |
| | -- Germany | 600 | 42 | 96 | 900 | 63 | 144 | 900 | 63 | 144 |
| Total, Services Performed | | 10,138 | 711 | 1,623 | 11,115 | 778 | 1,779 | 12,859 | 900 | 2,057 |
| Total Revenues Assoc. with | | | | | | | | | | |
| Cost of Work | | 20,882 | 1,275 | 3,348 | 19,477 | 1,364 | 3,117 | 19,967 | 1,396 | 3,195 |

**Denotes new/revised guidance (in red and marked with an asterisk).*

Department of Energy
FY BY Field Budget
Revenues Collected
(dollars in thousands)

Narrative Justification

Summary of Changes from FY CY President's Budget to the FY BY Request

- ZN-0202 Increase at SERI for research related to Renewable Energy (+\$596)

Explanation of the FY BY Estimates:

- Brief explanation of activities describing type of work being performed, research services, products sold, contractors to whom work is being provided (foreign and domestic), etc.
- Any new or cancellation of projects or contracts expected should be included in explanation.

**Denotes new/revised guidance (in red and marked with an asterisk).*

3. ***Aviation Services** As directed in DOE Order 440.2B, Change 1, the Office of Aviation Management (MA-30) guidance is as follows:
- a. Capital asset plans for aircraft acquisitions and aircraft investments are required and prepared in accordance with OMB A-11, Section 7, Part 300. Capital asset plans (Exhibit 300 and supporting documentation), involving aircraft, prepared by DOE organizations will be submitted to the OAM for review and then forwarded to DOE Budget Examiners, if required. For NNSA organizations, the capital asset plans (Exhibit 300 and supporting documentation), involving aircraft, are submitted to the OAM for review and recommendation to the Administrator, NNSA. A field element or program must submit a capital asset plan for each aircraft acquisition, included in the program capital asset portfolio. The information you must report will depend on whether you are reporting a new investment or an ongoing investment.
 - b. For New Investments (includes all acquisitions (i.e. new, used, replacement, transfers)):
 - (1) If you are reporting a new investment, i.e., proposed for Base Year (BY) or later, you must complete Exhibit 300 Part I, except for Sections I.H.3 and I.H.4.
 - (2) These investments should identify in life-cycle documentation, the dates these issues will be addressed as the investment matures.
 - (3) All of the areas on the Exhibit 300 must be part of the program's planning and the business case (Exhibit 300) updated as soon as the information is known.
 - (4) Exhibit 300s, officially submitted to OMB, should be management tools used within a program and updated as the information is available.
 - (5) Submit program-approved Exhibit 300s through the Office of Aviation Management by June 15, 2008 (new investments only)
 - c. On-going Investments:
 - (1) If an initial (new investment) Exhibit 300 has never been submitted for the aviation investment then the program office must submit an Exhibit 300 for the aviation program as an "on-going" investment.
 - (2) Include all information to establish the performance measures for the aviation program, cost-benefit, etc., in accordance with OMB A-11.
 - (3) Submit Exhibit 300s to the Office of Aviation Management by June 15, 2008
 - (4) If an Exhibit 300 has been previously submitted for the aviation investment, then the program office must submit an updated Exhibit 300 showing actual costs for the previous fiscal year, estimated costs for FY 2014 and explain any 10% differences from the last Exhibit 300 submitted.
 - d. The program office or field element may elect to group aircraft such as emergency response aircraft, security aircraft, etc., rather than submitting Exhibit 300s for each aircraft the program owns or controls.

4. ***Planned Acquisition of Capital Assets**

- a. Introduction. The Office of Management and Budget (OMB) Circular A-11, Planning, Budgeting, Acquisition, and Management of Capital Assets requires all agencies to provide an Exhibit 300, “Capital Asset Plan and Business Case,” for each new and on-going major capital acquisition as part of their budget submissions. This exhibit contains information on project description, justification, cost, schedule, and performance goals for all agency major capital acquisitions. The instructions and formats are available in OMB website, OMB Circular A-11, (<http://www.whitehouse.gov/omb/circulars/index.html>).
- b. IT-Related Capital Assets
 - (1) It is important to identify and coordinate IT activities being planned by all elements of the Department (including program offices, staff offices, field elements, laboratories, and contractors) in order to report complex-wide IT activities.
 - (2) The Information Technology threshold is \$5 million or more over three years (FY PY, FY CY, FY BY). Also, all financial systems that cost \$500,000 or more require an Exhibit 300 report. (refer to Chapter IV, Crosscuts, paragraph 2).
 - (3) A guide to capital asset plans (Exhibit 300s) for IT is available on the CIO’s website (<http://cio.doe.gov/ITReform/Planning/Exhibits/2005.htm>). The guidance will be updated once OMB finalizes its BY budget guidance. All other capital assets guidance is available on the Office of Engineering and Construction Management’s website (<http://oecm.energy.gov>).
 - (4) ***DOE’s consolidated Infrastructure, Office Automation, and Telecommunications (IOA&T) OMB Exhibit 300 enterprise-wide investment portfolio reporting requirements remain consistent in requiring reporting by site and service line. Specific guidance on reporting requirements is available at the CIO Home Page: <http://cio.energy.gov/it-capital-planning.htm>. Updated guidance will be provided on the CIO’s website once reporting guidance has been finalized for the FY BY.**
- c. ***Non-IT Capital Assets**
 - (1) ***For non-IT capital assets projects, the reporting total project cost (TPC) threshold is \$20 million or more. Capital Asset Plans are required regardless of type (appropriation) of funds and irrespective of whether the asset will be capitalized.**
 - (2) The **updated** exhibit 300 template is available on the DOE Intranet (<http://crinfo.doe.gov/officedocs/cf30/>).

5. Landlord Funding

a. Introduction

- (1) The funding responsibility or funding methods for landlord cost must be in accordance with the DOE Secretary's memorandum dated April 22, 1999, subject: Changes to the Departmental Management Structure, and the Deputy Secretary's memorandum dated August 19, 1999, subject: Roles and Responsibilities Guiding Principles.
- (2) Previously named LPSOs (LPSO) retain indicated landlord funding responsibilities at designated Operations Offices and Site Offices. Previously named PSOs that were designated as the landlord for a contractor plant site shall continue their indicated landlord funding responsibilities for those sites.
- (3) Issues or concerns regarding landlord cost funding responsibility should be promptly raised to the LPSO, Field Management Council, and to the Office of the Chief Financial Officer (CF-1) for clarification/resolution.

b. Operations Offices

- (1) The funding requirements associated with Operations Offices can be viewed in two discreet categories. The first category is landlord, and the second is program direction.
 - (a) Landlord - In accordance with provisions of the April 21, 1999, the LPSO is responsible for funding the landlord requirements for designated Operations Offices. This includes any infrastructure requirements (such as a telephone switch that serves the entire reservation) that are not within the plant fences, as well as any other institutional support requirements that are not program or site specific.
 - 1 Examples of institutional support requirements are:
 - a Roads and grounds outside the plant fences
 - b Site planning for other than a plant site
 - c Operations Offices security guards
 - d Operation of the Operations Office Emergency Operations Center
 - e Operation of any museums that are not operated by an M&O (in which case the M&O's overhead would fund the operation)
 - (b) Program Direction - Previously indicated LPSOs are responsible for funding the salaries, benefits, travel and contractual services of the FTE's assigned to them. In addition, the PSO is to provide program direction funds for the general support that cannot be easily identified with any particular FTE.
 - 1 Examples of general Operations Offices support costs are:
 - a Rent
 - b Communications
 - c Utilities
 - d Printing and reproduction
 - e Janitorial
 - f Maintenance of motor pool

**Denotes new/revised guidance (in red and marked with an asterisk).*

- g General administrative support services
- h Other contractual support service costs which are generally not easily identified with an individual FTE

c. Site Offices

- (1) Site Offices are DOE offices located at contractor facilities. The funding requirements associated with DOE Site Offices can generally be viewed in two categories: 1) M&O provided services and 2) program direction.
 - (a) M&O Provided Services: Any Site Office support costs that cannot be easily split out or identified to the Site Office due to co-location with an M&O should be absorbed by that M&O. These are usually insignificant in amount.
 - 1 Examples of M&O provided services are:
 - a Janitorial
 - b Utilities
 - (b) Program Direction
 - 1 In all cases, Site Office costs must follow FTEs assigned to these offices. That program will fund program-sponsored FTEs. General FTEs (i.e., not associated with a particular program) assigned to a site by an Operations Office are to be funded by the Operations Office's previously indicated LPSO. Programs are responsible for providing funding for the following costs associated with program:
 - a Salaries
 - b Benefits
 - c Travel
 - d Contractual services
 - e Equipment
 - 2 Contractual services should cover all costs that are in support of program FTEs. These support costs (including items such as physical security or training that can easily be attributed to a particular FTE) must be appropriately funded by the associated program.
 - 3 Any expansion of DOE Site Office costs that is directly attributable to a particular program must be funded by that program. Examples of this are relocation costs associated with moving program-dedicated FTEs or lease of additional space required for additional program FTEs.

d. Contractors

- (1) Landlord requirements associated with contractor plant sites (i.e., inside the plant fence) can be split into two categories: 1) operating, and 2) capital requirements.
 - (a) Operating: Landlord operating costs are general costs allocated to benefiting programs. For instance, if a multi-program facility roof is repaired, the costs should be allocated to the various programs that use the facility. If, however, a single-program facility roof is repaired, that program should bear the cost.

**Denotes new/revised guidance (in red and marked with an asterisk).*

- (b) Capital: Capital expenditures cannot be split. Therefore, the PSO previously designated as the landlord has site-wide responsibility to fund general capital requirements involving multi-program utilization. A capital requirement associated with a single-program facility, however, must be borne by the program.

6. Indirect Costs

a. Indirect Cost Review Process

- (1) This guidance describes the process to be used by DOE for review and oversight of accumulation and distribution practices and monitoring of contractor execution of Management and Operating (M&O) contractor and other contractor indirect costs. Indirect costs covered by this process include Site Overhead, Organizational Burden, Distributed Cost and Service Centers. Laboratory Directed Research and Development (LDRD) is currently excluded from substantive review. This process does not replace or limit review of indirect costs by any field office but merely describes a minimum review for such offices to perform.
- (2) Definitions: The first five definitions represent the standard types of indirect costs that are subject to review. All indirect costs of an M&O contractor will fit into one of these five categories.
 - (a) Site Overhead Costs: A component of indirect costs distributed to benefiting final cost objectives based upon a predetermined allocation methodology.
 - (b) Organizational Burden: Costs associated with managing direct organizations (i.e., organizations whose labor is charged to and whose primary purpose is to support final cost objectives). Examples include the cost of managers, clerical support, supplies, and contractual services. These costs are generally distributed based on actual direct labor charged by that organization to specific final cost objectives, or to other organizations within the contractor's operation.
 - (c) Distributed Cost: Homogenous costs accumulated and allocated on a basis that is representative of the resources used. This includes allocated costs that do not fit in any other category.
 - (d) Service Center Pools: Costs associated with providing a specific service or group of services where the costs are accumulated and then charged to the user on a standard rate representative of the services used. This method is often referred to as a “recharge” or “buy by the drink”. Depending on the nature of the services to be provided, costs may be charged to other indirect cost pools or to final cost objectives.
 - (e) Laboratory Directed Research and Development (LDRD): Costs incurred in accordance with DOE Order 413.2 for the purpose of pursuing new and innovative scientific concepts of benefit to the Department of Energy. Costs are assessed to all or most of the program efforts of the contractor. LDRD is covered by a separate review process embodied in DOE Order 413.2 and is excluded from substantive review.
 - (f) Indirect Cost (IC) Office: Includes the Operations Offices and all other HQ and Field Offices that manage M&O contractors at which there are overhead and organizational burden costs, as defined in paragraph (1) above.

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- (3) Timeline: DOE's Oversight and Review of Contractor Indirect Costs consists of several major elements to be completed on the following timeline:
- (a) Accumulation and Distribution Practices: IC offices create, execute, and annually update a five-year plan for the ongoing review of the contractor's accumulation and distribution practices.
 - (b) Monitoring of Contractor execution of indirect costs: M&O Contractors submit an annual execution plan to the appropriate IC Office no later than October 1.
- (4) Elements of Review and Oversight
- (a) Ongoing Review and Verification of Contractors Cost Accumulation and Distribution Practices: The IC Office performs an ongoing review and verification of the contractor's cost accumulation and distribution practices, as well as significant changes to these policies or practices. The policies and practices, as approved by DOE, should be in the form of a Cost Accounting Standards (CAS) disclosure statement. DOE approves all practices that materially impact the outcome of cost allocations including description and definition of cost pools, content of the pools and the basis for allocation. (Any changes that would impact the current cost accounting disclosure statement or its equivalent are considered to be significant.) The IC Office may use a risk-based approach in deciding which pools are to be reviewed and their sequence. In addition, the IC Office develops a Five-Year Plan for this ongoing review and updates the plan on an annual basis.
- 1 The reviews conducted by the IC Office, at a minimum, will include the following:
- a Examine the budgeted and actual composition of the pool(s) to determine that the costs charged to pools are appropriate. The examination will include a review of transactions.
 - b Verify that cost was accumulated and allocated in accordance with CAS disclosure statements or some other approved policy/practice.
 - c Validate the appropriateness of the allocation base.
 - d Evaluate the reasonableness of costs budgeted and incurred.
 - e Determine that the cost belongs in the pool/cost center/organization and would not be more appropriately charged direct or allocated via another pool/cost center/organization.
 - f Determine that circumstances still warrant the need for the pool, and that the cost should not be accumulated and allocated in some other manner.

g Review may include a consideration of allowability of cost.

- 2 The product of this review is an internal report prepared by the IC Office for use in resolving issues with the contractor. Report any significant problems or issues arising from the reviews to the DOE CFO.

(b) Monitoring Contractor Execution of Indirect Costs.

- 1 Using the contractor's normal reporting format, on a **minimum of a semi-annual basis**, IC Offices monitor each contractor's indirect costs against the amounts budgeted.
- 2 At the beginning of the fiscal year, the contractor provides a time-phased indirect cost plan as specified by the IC Office.
- 3 The contractor provides variance analyses based on criteria determined by the IC Office. The IC Office ensures that significant variances and budget issues which may arise are resolved to DOE's satisfaction.
- 4 IC Offices will report problems and issues to the DOE Hq CFO.

- b. List of IC Offices: As a minimum, the following offices are to review and oversee accumulation and distribution practices and monitor contractor execution of indirect costs according to the guidance provided:

NNSA Service Center

Chicago Operations Office

Ohio Field Office

Golden Field Office

Idaho Operations Office

Oak Ridge Operations Office

Richland Operations Office

Rocky Flats Field Office

Savannah River Operations Office

Naval Petroleum Reserves-CA

Naval Petroleum and Oil Shale Reserves-CO, UT, and WY

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7. Minority Educational Institutions, Including Historically Black Colleges and Universities.

- a. Executive Order 12677 requires that Federal agencies submit an estimate of funding to Historically Black Colleges and Universities (HBCU). In addition, estimates are requested for funding provided to all minority educational institutions. All organizations must complete this schedule; negative responses are required if there is no applicable funding in any of the three fiscal years (FY PY, CY, and BY).
- b. Use the format below to submit this exhibit and provide a point of contact. ED will prepare a consolidated estimate for the Department.

**Department of Energy
FY BY Field Budget Request
Estimates for Historically Black Colleges
and Universities and Minority Educational Institution
Field Office**

(dollars in thousands)

| | | FY PY | FY CY | FY BY |
|-----------------------------|--|-------|-------|-------|
| Appropriation/Decision Unit | Name of HBCU or educational institution (if known) | | | |
| Appropriation | | | | |
| 1. Decision Unit #1 | College X | 25 | 25 | 25 |
| 2. Decision Unit #2 | College Y | 10 | 15 | 15 |
| 3. Decision Unit #2 | To be Determined | 3 | 3 | 3 |
| Subtotal Decision Unit #2 | | 13 | 18 | 18 |
| Total Appropriation | | 38 | 43 | 43 |

Comments:

Program Contact:

Name: _____

Telephone: _____

8. Environmental Compliance

- a. Worker safety, public health, and environmental protection are of paramount importance to the successful accomplishment of DOE missions. Integrated Safety Management Systems — including Environmental Management Systems — (ISMS/EMS) provide a systematic approach to continually improving environment, safety and health performance in DOE operations.
- b. Management should ensure that funding and resources needed to implement ISMS/EMS and corresponding safety, environmental compliance and pollution prevention programs are included in the site budget submission.

9. **Motor Vehicles**To assist in developing the Appropriations Language for funding motor vehicle purchases, separate guidance will ask sites to provide motor vehicle data. This data request will require vehicle acquisition costs for the purchase of DOE-owned passenger vehicles. **MA-632 will provide separate guidance for submitting this data. (POC: Helene Mattiello, 202-287-1593, helene.mattiello@hq.doe.gov).**

Chapter 4
Crosscuts

Introduction.....1

Environment, Safety, And Health Liabilities.....2

*Agency IT Investment Portfolio – Ex. 533

*Integrated Facility and Infrastructure (IFI) Budget Crosscut6

Introduction. Crosscuts are exhibits used by Headquarters Organizations to consolidate the total amount being budgeted for a functional cost that is funded by numerous programs. In addition to submitting primary budget materials (Chapter 2), each laboratory, facility and contractor prepares and submits supplementary justification material exhibits, as appropriate. Provide copies of this material as shown in Attachment C of the FY BY Field Budget Call. Also refer to Attachment C for Points of Contact.

**Denotes new/revised guidance (in red and marked with an asterisk).*

1. *Environment, Safety, and Health Liabilities
 - a. Because compliance activities are considered ES&H liabilities under the Government Management Reform Act of 1994 (GMRA), the Department is required to report its ES&H liability in the Department's financial statements. Separate guidance from the CFO will ask sites to record their ES&H liability in the accounting system.

2. *Agency IT Investment Portfolio – Ex. 53

- a. The Agency IT Investment Portfolio reports data on IT investments, projects, and activities supporting DOE programs and IT investments for cross-cutting infrastructure, office automation, architecture and planning IT activities. IT investments for reporting purposes include IT projects to develop new systems or capabilities; maintenance and operation of existing capabilities or infrastructure; and generalized IT management investments such as the development of enterprise architectures. Reported IT investments include all expenditures of Departmental funds throughout the DOE complex, including laboratory and contractor facilities. No IT investment funded by the Department shall be considered “incidental to the contract” and exempted from reporting.
 - (1) Contractor and Laboratory sites are to submit their IT planned data to their respective Federal field offices.
 - (2) Federal field **offices** are to submit IT planned data, including information from sites under their cognizance, directly to the responsible Headquarters program organizations.
- b. DOE is required to collect and report information on planned Information Technology (IT) investments for investment management and external reporting purposes. The Office of Management and Budget (OMB) Circular A-11, Exhibit 53, “Agency IT Investment Portfolio” highlights as individual line items, major and other **investments** in all mission areas and report categories. Corporate Financial Systems is highlighted as an individual mission area. Financial Systems investments reported on the Exhibit 53 must **include** FTE count information. Any IT investment reported as a major investment in **the** Exhibit 53 (Parts 1, 2, 3, and 4) must also be reported on **an** Exhibit 300, “Capital Asset Plan.” Funding data reported on Exhibits 53 and 300 must be consistent.
- c. Each Federal Program Office, Staff Office, Field Office, Contractor, and Laboratory is to report **Prior Year** (PY), **Current Year** (CY), and BY IT cost estimates, on an investment-by-investment basis, in **the** Exhibit 53 in four areas: mission area **support**, infrastructure, architecture and planning, and grants management. Specific instructions and worksheets for the execution of Exhibit 53 (based on the BY 2009 format) are located on the CIO Home Page: <http://cio.energy.gov/it-capital-planning.htm>. This guidance will be updated once OMB finalizes its BY 2010 budget guidance.
- d. *Lead Program Secretarial Officers (LPSOs) may provide specific guidance to Field Elements under their cognizance on the mechanism to be used to provide data. The Office of the CIO maintains a baseline of investments (from the CY Exhibit 53 Budget submission) for each cognizant organization in the eCPIC system (refer to the BY Field Budget Call, Attachment D for the POC). Update, add, and delete investments, as necessary, to develop the BY Exhibit 53. The baseline contains all investments reported for the CY. Submitters are to update the baseline and report any new investments in all appropriate mission areas and report parts. The Office of the CIO will prepare the DOE-wide IT planning data for submission to the CFO and OMB.
- e. IT is a significant part of the Departmental budget and a primary enabler for accomplishing DOE missions more effectively and efficiently. The Department has fiscal responsibility for seeing that IT resources, which consume a significant portion of the DOE budget, are managed effectively as an asset by the programs they support. The specific information requirements will identify IT planning estimates in a consistent manner across diverse programs and organizations for the PY, CY, and BY. These should capture resource estimates for all IT-related activities.

**Denotes new/revised guidance (in red and marked with an asterisk).*

- f. The **Agency IT Investment Portfolio, Exhibit 53**, consists of four parts: (1) Data on IT Systems by Mission Area **Support**, (2) Data on IT Infrastructure, Office Automation **and Telecommunications**, (3) Data on IT **Enterprise** Architecture and Planning, and (4) Data on Grants Management Systems. The dollar threshold for identifying Major IT investments is determined by the Department CIO. The threshold is \$5 million or more over three years (**PY, CY, and BY**) including costs for hardware, software, and support services. In addition, those investments requiring special management attention because of their (1) importance to the mission; (2) high development, operating, or maintenance costs; (3) high risk; (4) high return, or (5) their significant role in the administration of programs, finances, property, or other resources are to be identified as major.
- g. ***Part 1: Data on IT Systems for Mission Area Support** reports funding for information technology investments that directly support the Department's mission areas as described in the DOE Strategic Plan. Separate entries for development/modernization/enhancement and steady state are required for **all investments**. IT investments by mission area should be itemized as major or **non-major**. **Major IT investments in mission area support must also be reported on an Exhibit 300**. All investments listed must identify the percentage of funding attributable to IT Security activities and the percentage of funding attributable to financial activities, *budget formulation, budget execution, and IPv6* for the budget year. **Investments must also include funding attributable to HSPD-12, as well as data related to the high risk list, security breach, segment architecture, project management qualifications and certification and accreditation (C&A).**
- h. ***Part 2: Data on IT Infrastructure, Office Automation and Telecommunications** reports amounts for IT investments that are common user systems, communications, and computing infrastructure, but are not directly related to singular program support (e.g., general LAN/WAN, desktops, data centers, telecommunications). IT investments for office automation, telecommunications, and infrastructure are consolidated into a single major IT investment report for the Agency by the Office of the CIO under the Infrastructure, Office Automation, and Telecommunications (IOA&T) Investment Portfolio. The Office of the CIO will work with each contributing Program and Staff office to ensure that all infrastructure investments are appropriately identified and consolidated under the six service lines; Telephony, Enterprise Collaboration, Enterprise Cyber Security Services, Telecommunications and Networks, Applications and Data Hosting/Housing, and Office Automation. Program Offices must continue to collect and report infrastructure investments by site to the Office of the CIO for subsequent consolidation prior to OMB reporting. Separate entries for development/modernization/enhancement and steady state are required for all infrastructure investments. All infrastructure investments must identify the percentage of funding attributable to IT Security activities and the percentage of funding attributable to financial activities, *budget formulation, budget execution and IPv6* for the budget year. **Investments must also include funding attributable to HSPD-12, as well as data related to the high risk list, security breach, segment architecture, project management qualifications and C&A.**
- i. ***Part 3: Data on IT Enterprise Architecture and Planning** reports amounts for IT investments that support strategic management of IT operations (e.g., architecture development, interoperability, planning, procurement management, and IT policy). Separate entries for development/modernization/enhancement and steady state are required for architecture and planning investments. IT investments should be itemized as major or other by name. All major or other investments listed must identify the percentage of funding attributable to IT Security activities and the percentage of funding attributable to financial activities, *budget formulation, budget execution and IPv6* for the

***Denotes new/revised guidance (in red and marked with an asterisk).**

budget year. Investments must also include funding attributable to HSPD-12, as well as data related to the high risk list, security breach, segment architecture, project management qualifications and C&A.

- j. ***Part 4: Data on Grants Management Systems** reports amounts for IT investments that represent planning, developing, enhancing, or implementing a grants management system or portion thereof. The intent of this section is to highlight any grants systems initiatives as defined by this section. Major IT investments in grants systems must also be reported on an Exhibit 300. Separate entries for development/modernization/enhancement and steady state are required for all grants management investments. All investments in grants systems must identify the percentage of funding attributable to IT security activities and the percentage of funding attributable to financial activities, budget formulation, budget execution and IPv6 for the budget year. Investments must also include funding attributable to HSPD-12, as well as data related to the high risk list, security breach, segment architecture, project management qualifications and C&A.
- k. ***As required by OMB Circular A-11**, submit the Exhibit 53 with OMB A-11, Exhibit 300, Capital Asset Plan (described below). Capital Asset Plan, Exhibit 300 covers major acquisitions, specifically, those requiring special management attention because of their (1) importance to the mission; (2) high development, operating, or maintenance costs; (3) high risk; (4) high return; or (5) their significant role in the administration of programs, finances, property, or other resources, and has been revised to collect information on large financial management systems. In addition to the definition above, the Department has established a dollar threshold for IT investments of \$5 million or more over three years (PY, CY, BY). All financial systems which are more than \$500,000 are major and therefore require an Exhibit 300 report. Financial Systems reported on the Exhibit 53 must include the FTE counts. The DOE CIO web site has instructions and the format to complete an Exhibit 300 (<http://cio.energy.gov/it-capital-planning.htm>). The OMB homepage has details on Exhibit 300 reporting (OMB Circular A-11, Part VI) (<http://www.whitehouse.gov/omb/circulars/index.html>). This guidance will be updated once OMB finalizes its BY budget guidance.
- l. **Spectrum Management and Wireless Program:** Under provision of Public Law, the Department of Energy is required to make payment to the National Telecommunications and Information Administration (NTIA) for agency pro-rated reimbursement of agency Spectrum assignment fees. NTIA is the licensing authority for Federal radio frequency authorizations, and all Federal spectrum users are mandated to make reimbursement to NTIA based on a pro-rated share of frequency authorizations. The amounts allocated to Federal Agencies for each Fiscal Year are based on each Agency's total number of frequency assignments and are also dependent on the final amount of Congressionally appropriated funds received by the Department of Commerce. Program and Staff Offices are expected to include expected Spectrum assignment fees into their budget planning and execution.

3. ***Integrated Facilities and Infrastructure Crosscut Budget (IFI Crosscut)**

- a. Introduction/Scope. Crosscuts are exhibits used by Headquarters Organizations to consolidate the budget for a functional area funded by multiple programs or fund sources. The Office of Engineering and Construction Management (MA-50) point of contact is Nestor Folta, telephone 202-586-4554.
- b. Background, Definitions etc.
 - (1) Background:
 - (a) In Conference Committee Report 107-258, Congress directed the Department provide an integrated facilities and infrastructure budget identifying proposed facility and infrastructure funding by Lead Program Secretarial Office (LPSO)/Cognizant Secretarial Office (CSO) and site. Furthermore, during the execution year, the Department is expected to track and report actual maintenance performance versus that budgeted within the IFI Crosscut.¹
 - (b) DOE Order 430.1B, Real Property Asset Management identified the IFI Crosscut as a companion resource plan to the Ten Year Site Plans (TYSPs). Per direction of the Department's Asset Management Plan (AMP), the IFI Crosscut and TYSPs must be aligned and reasonably coordinated. Further, targets identified within the TYSP and IFI Crosscut must be aligned with the annual Three Year Rolling Timeline that implements the AMP.
 - (c) The Department's Strategic Plan identifies "Infrastructure" as a strategic goal for Management Excellence. To reach this goal, the plan indicates the Department will *"Build, modernize and maintain facilities and infrastructure to achieve mission goals and ensure a safe and secure workplace."* As the IFI Crosscut identifies the resources required to meet the infrastructure goals of the Strategic Plan, the entire Strategic Plan should be read prior to generating the IFI Crosscut. Moreover, the IFI Crosscut with the TYSP must have demonstrated linkages to the Strategic Plan.
 - (2) Use of the Data:
 - (a) The IFI Crosscut data will be used for several Departmental purposes, including:
 - 1 Review of the Quarterly Maintenance Report (QMR).
 - 2 Review of Program budgets to ensure adequate facilities and infrastructure resources are being provided, facilitate data trending, and review of data target

¹ To meet this requirement, the Office of Engineering and Construction Management (OECM) established and maintain the Quarterly Maintenance Report and Annual Congressional Maintenance Report.

**Denotes new/revised guidance (in red and marked with an asterisk).*

levels identified in Programs' Program Decision Memoranda (PDMs). This data will also form the basis for review and monitoring of budget execution.

- 3 Compare budget and funding levels to the requirements of the Programs' TYSPs.
- 4 Determine whether budget levels and proposed projects are responsive to the facilities and infrastructure goals of the Department's Strategic Plan, Secretarial Guidance, Asset Management Plan and Three Year Rolling Timeline.

(3) Reporting Process:

- (a) The budgets for each Lead Program Secretarial Office (LPSO)² and/or Cognizant Secretarial Office (CSO)³ at a site shall be developed separately and reported. The sites shall provide the appropriate IFI Crosscut data sheet to the corresponding Headquarters Program Budget Office for each LPSO/CSO. CSOs are reminded to maintain budgetary visibility of all costs regardless of the size of their real property holdings at sites where they are not the LPSO.
- (b) Program Budget Offices in coordination with their applicable Facilities and Infrastructure Offices, review, revise and collate the site reported data and electronically forward the program package (in Microsoft Excel Workbook format) to the Office of Engineering and Construction Management (MA-50) concurrent with the scheduled submission to the Chief Financial Officer.
 - 1 If budget decisions during the CPR or OMB reviews change the budget, the IFI Crosscut must be updated for each Program's affected sites.
 - 2 Where a site's approved TYSP captures and reports the IFI Crosscut data required within this document, the program can provide only the subtotal costs in appropriate blocks of the IFI Crosscut without providing an additional break-out of the costs.

(4) IFI Crosscut Data Sheet Instructions and Definition of Project:

(a) General Instructions

- 1 The IFI Crosscut budget is integral to the budget process. The data for the PY column should be consistent with values provided in the CY Congressional Budget's IFI Crosscut Exhibit unless subsequent Congressional action has revised

² Per DOE O 430.1B: The LPSO owns the site, manages its own program projects and real property assets at the site, and acts as a host for any tenant.

³ Per DOE O 430.1B: A CSO owns real property assets but is not the site LPSO. (A PSO is a tenant program office who occupies space but does not "own" the facilities it occupies.)

**Denotes new/revised guidance (in red and marked with an asterisk).*

them. The values in the BY column shall be consistent with program directed funding levels for the site(s). The BY+1 through BY+4 values shall be consistent with the Planning, Programming, Budget and Evaluation System (PPBES) or similar targets established by the Program for the site.

- a The FY10 budget submission should reflect the enacted FY08 budget as well as the FY09 Presidential Budget.
 - b The site data provided for line item, general plant projects, and institutional general plant projects shall be at a project level throughout the reporting period i.e., through BY + 4. Project and budget data in the IFI Crosscut and TYSP must be consistent and validated at the site.
 - i. Because TYSPs are updated annually, whereas there are multiple budget iterations, there may be periods of time where the budget numbers within the TYSP and IFI Crosscut documents diverge. This divergence is acceptable and will be corrected during the subsequent TYSP update.
- 2 Where the program is a CSO, it is their responsibility to capture their IFI Crosscut budget figures and coordinate with the site LPSO so their IFI Crosscut project and budget data are captured within the TYSP for that site.
- (b) Definition of the term “Project”
- 1 For the purposes of this document, the definition of the term “project” is derived from the Accounting Handbook, Chapter 10, Plant and Capital Equipment, paragraph 1.g, “Accounting for Repair, Maintenance, Alterations, and Betterments” as a unique effort that supports a program mission, having defined start and end points, undertaken to create a product, facility, or system, and containing interdependent activities planned to meet a common objective or mission. Examples of project types include: line item, GPP, and IGPP construction, renovation, and modification; and direct and indirect O&E projects for maintenance, repair, and demolition. (It is not a reference to the definition of project within DOE Order 413.3A “Program and Project Management for the Acquisition of Capital Assets.”)
- (c) **Block 1: Line Item Projects.** Those separately identified project activities that are submitted for funding and are specifically reviewed and approved by Congress.
- 1 **Block 1 Line 1.1:** List those line item projects that construct a new facility or addition to a facility. If the new facility is a building, or addition to a building, show the constructed gross building area (square feet) in the second column. Identify only the cost of the new real property asset(s) not the entire project cost. *For example, if a new accelerator complex with an estimated project cost of \$800M contains \$100M of new buildings and supporting utilities; record only the \$100M.*

**Denotes new/revised guidance (in red and marked with an asterisk).*

- 2 **Block 1 Line 1.2:** List those line item projects that do not result in the construction of a new facility or an addition to an existing facility. The most common types of these projects are replacements of existing facilities (i.e. replacement of the plant record) or conversion of an existing facility to meet a new mission. Similar to Line 1.1 above, identify only the cost allocated to the new real property asset(s) which may or may not be the entire project.
- 3 Definitions for Block 1.
- a **Line Item Projects.** Those separately identified project activities that are submitted for funding and are specifically reviewed and approved by Congress.
- b **Betterments.** Improvements to Plant and Capital Equipment (P&CE) that result in better quality, higher capacity, or an extended useful life, or work required to accommodate regulatory and other requirement changes. Betterments are capitalized. Determining when and to what extent an expenditure should be treated as a betterment requires judgment. When a minor item is replaced in each of a number of similar units, the effect of the replacement as related to each unit, rather than to the cumulative costs, is the proper basis for determining whether or not a betterment is effected. Although a particular project may meet the characteristic of a betterment, if the capitalization criteria are not met or the improvement added is insignificant, then the project should be expensed. Listed below are the various terms that are commonly used to describe various categories of betterments.
- i. **Construction.** The erection, installation or assembly of a new plant facility; the addition, expansion, improvement, or replacement of an existing facility (e.g. demolish existing facility & construct new); or the relocation of a facility. Construction includes equipment installed in and made part of the facility and related site preparation; excavation, filling and landscaping, or other land improvements; and the design of the facility.
- ii. **Conversion.** A major structural revision of a facility that changes the functional purpose for which the facility was originally designed or used.
- iii. **Replacement.** A complete reconstruction of a plant record unit that has deteriorated or has been damaged beyond the point where its individual parts can be economically repaired. If the item replaced is a retirement unit, its original costs (including installation cost) are removed from the P&CE accounts, and the cost of the newly installed item (including installation cost) is added to the P&CE accounts.

4 **Block 2: General Plant Projects (GPP)**⁴

- a **Block 2, Line 2.1:** List those GPP funded betterment projects that construct a new facility or an addition to an existing facility. If the new facility is a building or addition to a building, show the constructed gross building area (square feet) in the second column.
- b **Block 2, Line 2.2:** List those GPP funded betterment projects that do not result in the construction of a new facility or an addition to an existing facility. The most common types of these projects are replacements of existing facilities (i.e. replacement of the plant record) or conversion of an existing facility to meet a new mission.
- c Definitions for Block 2.
 - i. See the definitions for Block 1; they are applicable to Block 2.
 - ii. **General Plant Projects (GPP).** Miscellaneous minor new construction (betterment) projects of a general nature that do not exceed \$5M. GPP are necessary to adapt new facilities or improve production techniques, to effect economies of operations, and to reduce or eliminate health, fire, and security problems. These projects provide for design and/or construction, additions, improvements to land, buildings and utility systems, and they may include the construction of small new buildings, replacements or additions to roads, and general area improvements.

5 **Block 3: Institutional General Plant Projects (IGPP).**

- a **Block 3, Line 3.1:** List those IGPP funded betterment projects that construct a new facility or an addition to an existing facility. If the new facility is a building or addition to a building, show the constructed gross building area (square feet) in the second column.
- b **Block 3 Line 3.2:** List those IGPP funded betterment projects that do not result in the construction of a new facility or an addition to an existing facility. The most common types of these projects are replacements of existing facilities (i.e. replacement of the plant record) or conversion of an existing facility to meet a new mission.

4 The FY 2007 Defense Authorization Bill **did not re-authorize the \$10 million NNSA limit** (as specified in the FY 2005 Appropriations Bill). Therefore, the **limit for all GPP is \$5 million**.

**Denotes new/revised guidance (in red and marked with an asterisk).*

c Definitions for Block 3.

- i. See the definitions for Block 1; they are applicable to Block 3.
- ii. **Institutional General Plant Projects (IGPP).** Miscellaneous minor (i.e., that do not exceed \$5M) new construction projects of a general institutional nature *benefiting multiple cost objectives and required for general purpose site-wide needs*. IGPPs do not include projects whose benefit can directly be attributed to a specific or single program. Examples are multi-programmatic/inter-disciplinary scientific laboratories, institutional training facilities, cafeterias, guard houses, site-wide maintenance facilities and utilities, new roads, multi-programmatic office space, multi-programmatic facilities required for “quality of life” improvements etc.

6 **Block 4: Maintenance and Repair (M&R).**

- a **Block 4, General:** The industry standard maintenance level is 2%-4% of Replacement Plant Value (RPV). In the event that a significant backlog of maintenance and repair exists as indicated by the Asset Condition Index⁵ falling below 0.95, separate funding of 1%-2% of RPV should be planned to reduce the backlog. To maintain visibility of the two funding streams, separate maintenance from backlog reduction by reporting on different lines (see (b) 1 below.) Maintenance and repair (as well as backlog reduction) may be either directly, indirectly or combination funded.
 - i. When Programs have projects that include costs other than maintenance and repair (for example; alteration or construction costs), *only* the maintenance and repair portion of the project cost are to be included.
- b **Block 4, Line 4.1** Direct Maintenance and Repair is funding that can be identified with a particular program’s operating funds (via one of two cases: maintenance directly funded by a program that is identifiable in the STARS accounting structure; or maintenance that is attributable to a site program activity but not directly identified in the STARS Structure the first time the costs are charged). These funds are directly appropriated and charged to a program since they are directly related to and are being incurred principally for the benefit of the program receiving these maintenance activities. These are loaded costs that generally consist of direct labor, materials and supplies. Includes charge back maintenance and direct funded (M&R) operating or expense projects.

⁵ Asset Condition Index is the ratio of deferred maintenance to replacement plant value subtracted from unity. See the DOE Order 430.1B and Asset Management Plan for a discussion and target levels.

**Denotes new/revised guidance (in red and marked with an asterisk).*

- i. Programs shall add additional lines (4.1.1, 4.1.2) specifically tailored to separate maintenance and repair initiatives established to address the deferred maintenance backlog from their standing maintenance requirement. At their discretion, they may also add additional lines to highlight major maintenance, component replacement, etc. and differentiate these costs from day-to-day maintenance and repair and deferred maintenance reduction funding.
- c **Block 4, Line 4.2** Indirect Maintenance and Repair is funding that is *not* identified with a single, specific final cost objective. These costs, collected in cost pools are distributed or allocated to a final cost objective based on a predetermined methodology. Site overhead costs, service centers, organizational burden G&A pools, and space charge pools are examples of indirect costs. Include indirect (M&R) operating or expense projects.
 - i. Programs shall add additional lines (4.2.1, 4.2.2) specifically tailored to separate maintenance and repair initiatives established to address the deferred maintenance backlog from their standing maintenance requirement. At their discretion, they may also add additional lines to highlight major maintenance, component replacement, etc. and differentiate these costs from day-to-day maintenance and repair and deferred maintenance reduction funding.
- d Within the IFI Crosscut budget, in kind repair by replacement of an entire building system component (for example: a roof, electrical feeder or a Heating Ventilation Air Conditioning ductwork system) where the replacement does not result in an increase in capacity or superior performance is considered a repair and shall be reported as such.
 - i. Replacement of a *real property record unit* i.e., replacement of a building or structure (road, tower, etc) in its entirety is *not* a repair and must be accounted under Line Item, GPP or IGPP.
- e Report maintenance and repairs on all real property assets including buildings, other structures and facilities (OSFs) and real property trailers including those that house programmatic real property and equipment. *However, do not report maintenance or repairs to programmatic real property or equipment.*
 - i. Definitions for Block 4
 - (i) **Repair by Replacement** is the in-kind replacement of an entire building system component (for example: a roof, electrical feeder or a Heating Ventilation Air Conditioning ductwork system) where the replacement is made to address deteriorated conditions and does not result in an increase in capacity or superior performance.

**Denotes new/revised guidance (in red and marked with an asterisk).*

- (ii) **Real Property** includes land, improvements on the land or both. The chief characteristics of real property are immobility and tangibility. It comprises land and all things affixed to the land that are of a permanent substantial nature. Trailers that are triple-wide or modular units joined together so that they are not portable and can not be relocated without dismantling are also considered real property. Trailers that are double-wide or less; or mobile facilities are considered personal property.
- (iii) **Maintenance** is the recurring day-to-day work that is required to maintain and preserve P&CE in a condition suitable for it to be utilized for its designated purpose. It differs from repair in that it is normally work to correct wear and tear before major repair is required, and it is usually less involved than repair work. Maintenance work is typically also charged to an operating expense account. Preventive maintenance is a specialized category for the broader category of maintenance and is typically charged to an operating expense account.

1. Maintenance does not include the following:

- 1 Regularly scheduled janitorial work such as cleaning, and preserving facilities and equipment.
- 2 Work performed in relocating or installing partitions, office furniture, and other associated activities (these are defined as alterations).
- 3 Work usually associated with the removal, moving, and placement of equipment.
- 4 Work aimed at expanding the capacity of an asset or otherwise upgrading it to serve needs different from or significantly greater than those originally intended.
- 5 Improvement work performed directly by in-house workers or in support of construction contractors accomplishing an improvement.
- 6 Work performed on special projects not directly in support of maintenance or construction.
- 7 Non-maintenance roads and grounds work, such as grass cutting and street sweeping.
- 8 Any costs associated with equipment, programmatic real property or personal property.

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- (iv) **Repair** is the restoration or replacement of a deteriorated item of P&CE such that it may be utilized for its designated purpose. The cost of repair, which is normally charged to an operating expense account and includes amounts for labor and associated supervision and materials, as well as indirect and other costs incurred in such repairs, may include costs to replace items of P&CE designated as retirement units. (Power marketing administrations should refer to publications and studies on utility plant service lives.)

7 **Block 5, Disposition of Excess Facilities** - disposition work funded to eliminate excess real property (Buildings, Other Structures and Facilities (OSFs) and Real Property Trailers).

a Block 5.1, Show direct funding for disposition of excess facilities.

b Block 5.2, Show indirect funding for disposition of excess facilities.

8 Frequently Asked Questions (FAQs):

a Can we use the old reporting format?

- i. No. We require the new format be used to avoid error.

b Where do you include a Mixed Project?

- i. This determination requires judgment. When maintenance and repair work scope is combined with significant betterments, the resulting project is considered a betterment project and therefore is a GPP or IGPP. However, the Accounting Handbook allows incidental betterments that do not result in improved performance or significant additional cost. Where betterments are incidental to the repair scope, the project belongs under maintenance and repair.

c Can I account for costs for equipment required to maintain real property in the IFI; for example, a dump truck for road maintenance or a local area network system? How about that shiny new fire truck we have on order?

- i. No – The IFI crosscut is a budget for real property. A dump truck, fire truck and a LAN are examples of personal property and are *not* real property. These costs do not belong in the IFI Crosscut which reports *real property costs only*. See Chapter 10 of the Accounting Handbook for additional discussion on real versus personal property.

d Can additional sub-lines be added to simplify our reporting and/or tracking?

- i. Yes – as long as the line totals correctly and is well defined.

**Denotes new/revised guidance (in red and marked with an asterisk).*

- e Can an existing building system (HVAC, lighting, electrical, roof, bridge crane, etc.) be replaced with block 4 (maintenance and repair) funds?

 - i. Yes, if the replacement is performed to address deteriorated conditions and the replacement does not significantly increase output or capacity of the system, it is properly categorized as a repair project. However, if the work entails replacement of an item of P&CE in its entirety, by definition, the project is a betterment and would be funded out of GPP, IGPP or line item funds. See Chapter 10 of the Accounting Handbook for additional discussion.
- f Can I replace a very large leaking roof with repair dollars or must the project be a line item if it exceeds \$5M?

 - i. Yes, as long as the replacement is performed to address a deteriorated condition (in this case, to fix roof leaks) and the replacement does not provide superior performance to the old roof (for example, replacement of an asphalt roof with a slate roof) the project is properly identified as a repair and can be accounted for and funded as a repair project.
- g Do we report alterations?

 - i. Projects planned to alter real property to meet a different use are either GPP or IGPP.
- h What is a project?

 - i. See the definition provided within the document.
- i We only own a couple of facilities at a particular site; do we need to report in the IFI Crosscut?

 - i. Yes, even if you have a single building or structure, by definition you are a CSO and have ownership and budgetary responsibility. Therefore, you must budget for that facility(s) and generate an IFI Crosscut for those facilities.
- j We are a tenant at a particular site and do not own the facility but pay a space charge to the host program. Do we need to report in the IFI Crosscut?

 - i. No, you are a PSO and do not have ownership responsibility, your host program that “owns” the facility and accepts your space charge will include it in their IFI Crosscut.
- k How is it determined who “owns” a facility?

- i. The owning program is that program identified as such within the Facilities Information Management System (FIMS); the Department's official repository of its real property data.
- l How does the facility ownership designation change from program to program?
- i. Because changes in ownership have resource and accountability implications, changes are made after a *written agreement* is signed between the program transferring ownership and the program accepting ownership. After such agreement is reached, the FIMS record is modified by the FIMS administrators to reflect the change.
- m What is the difference between a CSO and a PSO?
- i. The formal definition can be found in DOE Order 430.1B. For the purposes of this document, a CSO is a facility (or sub-site) owner while a PSO occupies space they do not own from a CSO or LPSO.

| Integrated Facilities and Infrastructure Budget Data Sheet (IFI) | Project Number | Gross Building Area (Added or Subtracted) | FY PY Approp. (\$000) | FY CY Approp (\$000) | FY BY Budget (\$000) | FYBY+1 Budget (\$000) | FY BY+2 Budget (\$000) |
|--|-----------------------|--|----------------------------------|---------------------------------|---------------------------------|----------------------------------|-----------------------------------|
| SITE NAME: | | | | | | | |
| PROGRAM: | | | | | | | |
| 1.0 Line Item Projects (Include project number & identify Funding Program) | | | | | | | |
| 1.1 New Construction (facilities and additions) | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| 1.2 Other Projects (replacements and conversions) | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| 1.0 Subtotal Line Item Projects (Totals 1.1 and 1.2) | | | | | | | |
| 2.0 General Plant Project (GPP) (Include project number & identify Funding Program) | | | | | | | |
| 2.1 New Construction (facilities and additions) | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| 2.2 Other (replacements and conversions) | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| 2.0 Subtotal GPP Projects (Totals 2.1 and 2.2) | | | | | | | |
| 3.0 Institutional General Plant Project (IGPP) | | | | | | | |
| 3.1 New Construction (facilities and additions) | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| 3.2 Other (replacements and conversions) | | | | | | | |
| <i>*Denotes new/revised guidance (in red and marked with an asterisk).</i> | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| 3.0 Subtotal IGPP Projects (Totals 3.1 and 3.2) | | | | | | | |

| Integrated Facilities and Infrastructure Budget Data Sheet (IFI) | Project Number | Gross Building Area (Added or Subtracted) | FY PY Approp. (\$000) | FY CY Approp (\$000) | FY BY Budget (\$000) | FYBY+1 Budget (\$000) | FY BY+2 Budget (\$000) |
|---|-----------------------|--|----------------------------------|---------------------------------|---------------------------------|----------------------------------|-----------------------------------|
| 4.0 Maintenance & Repair | | | | | | | |
| 4.1 Direct Funded | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| 4.1 Subtotal Direct Maintenance and Repair | | | | | | | |
| 4.2 Indirect Funded (from Overhead or Space Charges) | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| 4.2 Subtotal Indirect Maintenance & Repair | | | | | | | |
| | | | | | | | |
| 4.3 Total Direct and Indirect Maintenance and Repair | | | | | | | |
| | | | | | | | |
| 5.0 Disposition of Excess Facilities | | | | | | | |
| 5.1 Direct Funded Disposition of Excess Facilities | | | | | | | |
| 5.2 Indirect Funded Disposition of Excess Facilities | | | | | | | |
| 5.3 Total Direct and Indirect Disposition of Excess Facilities | | | | | | | |

**Denotes new/revised guidance (in red and marked with an asterisk).*

Project Number, Title, and Location

1. Significant Changes

[Instructions: In this section, summarize significant changes to cost, schedule, scope, and funding.]

2. Design, Construction, and D&D Schedule

| | (fiscal quarter) | | | | | |
|------------|-----------------------------|--------------------------|-----------------------------------|--------------------------------------|--|---|
| | Preliminary Design start | Final Design Complete | Physical Construction Start | Physical Construction Complete | D&D Offsetting Facilities Start | D&D Offsetting Facilities Complete |
| FY 2006 | 4QFY2004 | 4QFY2006 | 2QFY2007 | 1Q2009 | 3Q2009 | 2Q2010 |
| FY 2007 | 4QFY2004 | 4QFY2006 | 2QFY2007 | 1Q2009 | 3Q2009 | 4Q2010 |

[Instructions for Item 2: The D&D Start and Complete dates represent removal of the existing facility being replaced to offset the new construction and any additional D&D needed to comply with the “one-for-one” requirement. These are not future D&D dates for the new construction. Show all approved changes to schedule under this section.]

3. Baseline and Validation Status

| | (dollars in thousands) | | | | | |
|---------|------------------------|-----------------------------|-------------------------|---------------------------|--------------------------------------|-------------------------|
| | TEC | OPC, except D&D Costs | Offsetting D&D Costs | Total Project Costs | Validated Performance Baseline | Preliminary Estimate |
| FY 2006 | 59,800 | 12,000 | 8,000 | 79,800 | 71,800 | 8,000 |
| FY 2007 | 59,800 | 12,000 | 10,000 | 81,800 | 81,800 | NA |

[Instructions for Item 3:

1. If the FY 2007 Total Project Costs represents a validated performance baseline (including D&D costs), then TPC and Validated Performance Baseline should be the same value. There should be an N/A under Preliminary Estimate. Show the status of all approved baseline changes under this section.]

2. If the FY 2007 Total Project Costs has been validated except for D&D, then the validated amount should go under “validated performance baseline” and the “D&D” estimate should go under “Preliminary Estimate”. The sum of the “Validated Performance Baseline” and the “Preliminary Estimate” should be equal to the Total Project Costs. Note: For FY 2007 and FY 2008, OMBE is aware that it may be difficult to validate the D&D estimate. In future FYs, the D&D should be incorporated into the project planning with the baseline validated at the same time as the new construction.

3. If the FY 2007 Total Project Costs has not been validated, then the amount should go under Preliminary Estimate. Under “validated performance baseline,” include the expected date of validation and the following statement “No construction funds will be used until the Performance Baseline has been validated.”

4. Deleted

4. Project Description, Justification, and Scope

[The project description and justification should be based on the Mission Need Statement document approved at CD-0. The scope should be consistent with the requirements approved at CD-1 and should describe the key elements needed for successful execution of the project. Include a detailed explanation of what work will be performed for the budget year increment of funding proposed. Key milestones which should include Critical Decision milestones stated in DOE Order 413.3, should be provided using the following format.]

The project will be conducted in accordance with the project management requirements in DOE Order 413.3 and DOE Manual 413.3-1, Program and Project Management for the Acquisition of Capital Assets.

Compliance with Project Management Order

- Critical Decision – 0: Approve Mission Need – FY _____
- Critical Decision – 1: Approve Preliminary Baseline Range – FY _____
- Critical Decision – 2: Approve Performance Baseline – 2Q FY _____
- External Independent Review Final Report – Date_____
- Critical Decision – 3: Approve Start of Construction – 1Q FY _____
- Critical Decision – 4: Approve Start of Operations – 3Q FY _____

5. Financial Schedule (dollars in thousands)

| | Appropriations | Obligations | Costs |
|------------------------------------|----------------|-------------|--------|
| Design/Construction by Fiscal Year | | | |
| Design | | | |
| 2004 | 5,000 | 5,000 | 600 |
| 2005 | 0 | 0 | 3000 |
| 2006 | 0 | 0 | 1400 |
| Total, Design (PED No. 04-D-203) | 5,000 | 5,000 | 5,000 |
| Construction | | | |
| 2006 | 800* | 800 | 700 |
| 2007 | 32,000 | 32,000 | 19,100 |
| 2008 | 22,000 | 22,000 | 32,000 |

| | | | |
|---------------------|--------|--------|--------|
| 2009 | 0 | 0 | 3,000 |
| Total, Construction | 54,800 | 54,800 | 54,800 |
| Total TEC | 59,800 | 59,800 | 59,800 |

*Includes \$800k for long-lead procurement.

[Instructions Item 5:

1. Long lead procurement: As a footnote, show the dollar value for the fiscal year (s) that appropriations will be used for long lead procurement. Note: Under DOE O 413.3, funds for long lead equipment may be requested prior to validation of the Performance Baseline if approved by the Acquisition Executive.

2. Total TEC below includes both Design and Construction. Funds are only being requested for construction in FY BY. As indicated in the footnote, Design funding was appropriated separately.]

6. Details of Project Cost Estimate

Total Estimated Costs

| Cost Element | (dollars in thousands) | |
|------------------------------|--------------------------|---------------------------|
| | Current Estimate (\$000) | Previous Estimate (\$000) |
| Preliminary and Final Design | 5,000 | 5,000 |
| Construction Phase | | |
| Site Preparation | 5,000 | 5,000 |
| Equipment | 10,800 | 10,800 |
| All other construction | 36,000 | 36,000 |
| Contingency | 3,000 | 3,000 |
| Total, Construction | 54,800 | 54,800 |
| Total, Total Estimated Cost | 59,800 | 59,800 |

Other Project Costs

| Cost Element | (dollars in thousands) | |
|---|--------------------------|---------------------------|
| | Current Estimate (\$000) | Previous Estimate (\$000) |
| Conceptual Planning | 2,500 | 2,500 |
| Start-up | 7,500 | 7,500 |
| Offsetting D&D | | |
| D&D for removal of the offsetting facility | 4,000 | 4,000 |
| Other D&D to comply with “one-for-one” requirements | 4,000 | 4,000 |
| D&D contingency | 2,000 | 2,000 |
| Total, D&D | 10,000 | 10,000 |
| Contingency for OPC other than D&D | 2,000 | 2,000 |

Total, Other Project Costs

22,000 22,000

7. Schedule of Project Costs

| (dollars in thousands) | | | | | | | | |
|-------------------------|----------------|--------|------------|------------|------------|------------|----------|--------|
| | Prior Years | FY BY | FY BY+1 | FY BY+1 | FY BY+1 | FY BY+1 | Outyears | Total |
| TEC(Design) | 5,000 | 0,000 | 0,000 | 0,000 | 0,000 | 0,000 | 0,000 | 5,000 |
| TEC (Construction) | 700 | 19,100 | 32,000 | 3,000 | 0,000 | 0,000 | 35,000 | 54,800 |
| OPC Other than D&D | 0,000 | 12,000 | 0,000 | 0,000 | 0,000 | 0,000 | 0,000 | 12,000 |
| Offsetting D&D Costs | 0,000 | 10,000 | 0,000 | 0,000 | 0,000 | 0,000 | 0,000 | 10,000 |
| Total, Project Costs | 5,700 | 41,100 | 32,000 | 3,000 | 0,000 | 0,000 | 35,000 | 81,800 |

8. Related Operations and Maintenance Funding requirements

Start of Operation or Beneficial Occupancy (fiscal quarter) 2Q2009
Expected Useful Life (number of years) 20
Expected Future start of D&D for new construction (fiscal quarter) 3Q2029

(Related Funding requirements)

| (dollars in thousands) | | | | |
|------------------------|-------------------|-------|---------------------|-------------------|
| Annual Costs | | | Life cycle costs | |
| Current estimate | Prior Estimate | | Current estimate | Prior Estimate |
| Operations | 0,000 | 0,000 | 0,000 | 0,000 |
| Maintenance | 0,000 | 0,000 | 0,000 | 0,000 |
| Total Related funding | 0,000 | 0,000 | 0,000 | 0,000 |

[Instructions for table above:

1. Use OMB inflation factors included in the Budget Call
2. Data should be consistent with OMB Exhibit 300]

9. Required D&D Information

[For any new or existing project that requests construction funding for the first time in FY BY, explain how this project will comply with the “replacement of existing facilities” and the “one-for-one” requirements. Include the date(s) for D&D including the program office responsible for funding the D&D activity as well as the relevant appropriation account and control point in the budget.]

| |
|--|
| |
| |
| |

| |
|--|
| Name(s) and site location(s) of existing facility(s) to be replaced: |
| |

| D&D Information Being Requested | Square Feet |
|---------------------------------|-------------|
|---------------------------------|-------------|

Area of new construction
Area of existing facility(ies) being replaced
Area of any additional space that will require D&D to meet the “one-for-one” requirement

[Instructions for Item 9: D&D cost information is provided in Sections 3 and 6. The information requested describes how the project intends to comply with “replacement of existing facilities” and the “one-for-one” requirements, and provides necessary square footage information.]

10. Acquisition Approach (formerly Method of Performance)

[Instructions: describe how construction will be accomplished. This information should be summarized from the approved Acquisition Strategy for this project, and should be consistent with the OMB Exhibit 300.]

**Department of Energy
FY 2010 Field Budget
Consolidated Summary of Estimates
(In Thousands of Dollars)**

M&O Contractor/Laboratory

| Programs | <u>FYPY</u> | | | | <u>FYCY</u> | | | | <u>FYBY</u> | | |
|--|-------------|------------|------------|-----------|-------------|------------|-----------|------------|-------------|-----------|------|
| | BU* | Obs | Costs | EU** | Obs | Costs | EU** | Obs | Costs | Obs | EU** |
| Assistant Secretary for Fossil | | | | | | | | | | | |
| AA – Power Systems | 50 | 500 | 400 | 150 | 600 | 650 | 100 | 800 | 850 | 50 | |
| AB – Gas | 50 | 500 | 400 | 150 | 600 | 590 | 160 | 800 | 830 | 130 | |
| Line Item Projects (specify each) | <u>10</u> | <u>100</u> | <u>90</u> | <u>20</u> | <u>200</u> | <u>210</u> | <u>10</u> | <u>300</u> | <u>290</u> | <u>20</u> | |
| Total | 110 | 1100 | 890 | 320 | 1400 | 1450 | 270 | 1900 | 1970 | 200 | |
| Office of Science | | | | | | | | | | | |
| KA – High Energy Physics | 20 | 1000 | 1010 | 10 | 1200 | 1210 | 0 | 1600 | 1590 | 10 | |
| KB – Nuclear Physics | 20 | 1000 | 980 | 40 | 1200 | 1100 | 140 | 1400 | 1500 | 40 | |
| KC – Basic Energy Sciences | 40 | 200 | 220 | 20 | 400 | 390 | 30 | 600 | 590 | 40 | |
| Line Item Projects (specify each) | <u>10</u> | <u>100</u> | <u>90</u> | <u>20</u> | <u>200</u> | <u>210</u> | <u>10</u> | <u>300</u> | <u>290</u> | <u>20</u> | |
| Total | 90 | 2300 | 2300 | 90 | 3000 | 2910 | 180 | 3900 | 3970 | 110 | |
| Not all program organizations are listed here in order to maintain a one-page example | | | | | | | | | | | |
| Total Non Line Items (OE, CE, GPP) | 180 | 3200 | 3010 | 370 | 4000 | 3940 | 430 | 5200 | 5360 | 270 | |
| Total Line Item Projects | <u>20</u> | <u>200</u> | <u>180</u> | <u>40</u> | <u>400</u> | <u>420</u> | <u>20</u> | <u>600</u> | <u>580</u> | <u>40</u> | |
| Total DOE | 200 | 3400 | 3190 | 390 | 4400 | 4360 | 450 | 5800 | 5940 | 310 | |
| Reimbursable Work: | | | | | | | | | | | |
| 40 – Other Federal Agencies | 10 | 100 | 45 | 70 | 150 | 200 | 20 | 200 | 190 | 25 | |
| 60 – Non-Federal Agencies | 10 | 50 | 30 | 30 | 100 | 120 | 10 | 100 | 100 | 10 | |
| 65 – Non-Federal Agencies | <u>10</u> | <u>100</u> | <u>45</u> | <u>70</u> | <u>150</u> | <u>200</u> | <u>20</u> | <u>200</u> | <u>200</u> | <u>25</u> | |
| Total Reimbursable | 30 | 250 | 120 | 170 | 400 | 520 | 50 | 500 | 490 | 60 | |
| Total M&O Contractor/Laboratory | 230 | 3650 | 3310 | 560 | 4800 | 4880 | 500 | 6300 | 6430 | 370 | |

* BU=Beginning Uncosted

**EU=Ending Uncosted

Summary of Estimates Table

General. This table should show a bottom line total, with major DOE Programs captured separately.

It is not required, but acceptable to show Operating, Capital Equipment, and GPP separately. However, Line Item Projects should be shown separately.

Financial Data. The summary of estimates table includes DOE funding information for FYPY, FYCY, and FYBY as described below:

1. FYPY

- a) Beginning Uncosted Obligations. Those uncosted amounts carrying over from FYPY-1.
- b) Obligations. Reflects the current estimate of obligations, regardless of when the funds were appropriated.
- c) Costs. Reflects current cost estimates

2. FYCY

- a) Obligations. Reflects the current estimate of obligations, regardless of when the funds were appropriated.
- b) Costs. Reflects current cost estimates.
- c) Ending Uncosted Obligations. Amounts obligated in the M&O contract that have not been costed.

3. FYBY

- a) Obligations. Reflects the total amount of DOE funding requested.
- b) Costs. Reflects current cost estimates.
- c) Ending Uncosted Obligations. Amounts obligated in the M&O contract that have not been costed.